



## Environmental Management Consolidated Business Center (EMCBC)

### Subject: EMCBC Functions, Responsibilities, and Authorities (FRA)

Program Description

APPROVED: (Signature on File)

EMCBC Director

ISSUED BY: Office of Logistics Management

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#### 1.0 PURPOSE

The FRA contains the environment, safety, and health (ES&H) functions, responsibilities, and authorities necessary for achieving the integrated safety management of the EMCBC activities.

#### 2.0 SCOPE

The scope of the FRA delineates the various safety management responsibilities for the EMCBC, as well as assigns the EMCBC's serviced sites that had been given the authority and accountability to implement the functions, including support functions, related to environmental, safety and health, and quality assurance.

#### 3.0 APPLICABILITY

This program is applicable to all EMCBC staff and serviced sites, if they deem appropriate.

#### 4.0 REQUIREMENTS and REFERENCES

See Attachment A

#### 5.0 DEFINITIONS – N/A

#### 6.0 RESPONSIBILITIES

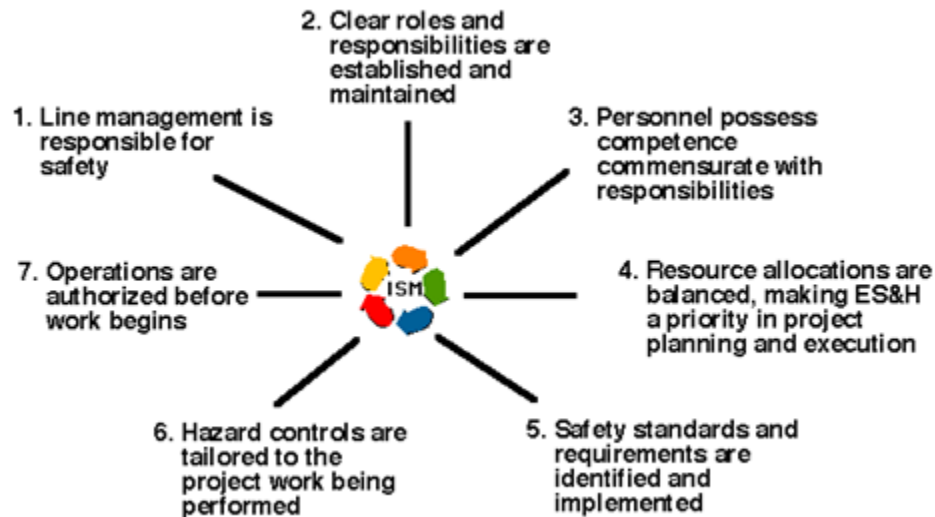
Responsibilities are sorted by core function.

#### 7.0 GENERAL INFORMATION

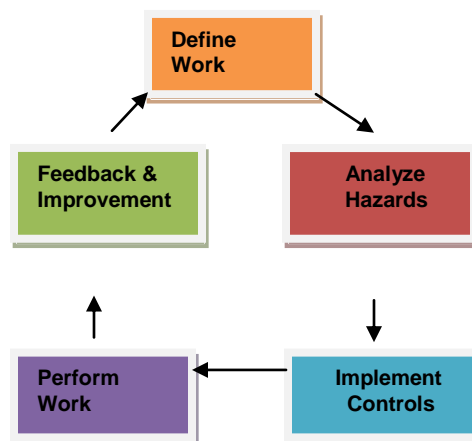
The EMCBC Functions, Responsibilities, and Authorities document (FRA) contains the environment, safety, and health (ES&H) functions, responsibilities, and authorities necessary for implementing integrated safety management for EMCBC and Small Site activities.

(GENERAL REVISION) As defined in DOE P 450.4A, the Integrated Safety Management System Policy, consisting of seven guiding principles that encompass five core functions, is a formalized approach for managing all safety program and associated activities, as delineated below:

### ISMS PRINCIPLES



### ISMS Core Functions



The EMCBC FRA defines the safety management functions and responsibilities predicated on the requirements in DOE directives that are applicable to EM. The EMCBC FRA captures all current ES&H responsibilities assigned to the DOE program or line offices by the corporate-level DOE FRAM (DOE Manual 411.1-1C), the DOE EM FRAM, and other applicable management and safety management directives. The EMCBC FRA organizes or bins responsibilities into functional areas delineated by the Integrated Safety Management System process.

The EMCBC FRA is a living document that is reviewed and updated as necessary after the issuance of a revision to the DOE EM FRAM. The EMCBC FRA is maintained under a formal change control system, and is updated at least on an annual basis.

The EMCBC FRA is an administrative instrument that identifies assigned responsibilities or documents formal delegation of safety management authorities within the EMCBC Support Organization or the Lead Responsible Organization. Each responsibility statement in the EMCBC FRA identifies the organization with implementing lead role or indicates that the authority is delegated to the Federal Project Director or to other support organizations.

## 8.0 ATTACHMENT

(GENERAL REVISION) In Attachment A to this document, responsibilities of lead EMCBC individuals and support organizations have been included, who, in compliance with applicable regulations and guidelines, provide direction for ISMS program activities in various functional areas.

## Attachment A

1. Provide Direction						
	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
1.01.a	BUSINESS OPERATIONS	Provide input to and implement the provisions of the Secretary's Strategic Plan, including the Department's mission statement.	GPRA 1993	CBC Director	Assistant Directors	Strategic Plan & Mission Statements
1.01.b	BUSINESS OPERATIONS	Prepare strategic plan and mission statements. Implement DOE, secretarial office, and CBC strategic plans and mission statements.	GPRA 1993	CBC Director	Assistant Directors	Strategic Plan & Mission Statements
1.02.a	INTEGRATED SAFETY MANAGEMENT	Ensures that each contractor submits its Integrated Safety Management System (ISMS) documentation to the Contracting Officer (CO) for review and approval.	DOE O 450.2	Project Director	Contracting, Logistics Management	FRAM
1.03.a	BUSINESS OPERATIONS	Conduct operations under their cognizance in a manner consistent with the financial policy, procedures, and guidance promulgated by the CFO.	DOE O 520.1A	Project Director	Financial Management	CFO
1.03.b	BUSINESS OPERATIONS	Designate Field CFO positions in coordination with the CFO.	DOE O 520.1A	CBC Director	Financial Management	CFO
1.03.c	BUSINESS OPERATIONS	Ensure that the Field Element CFO office is organized and staffed to effectively support field financial management functions, including finance and accounting, budget and planning, and financial review.	DOE O 520.1A	CBC Director	Financial Management, Project Director	CFO
1.04.a	BUSINESS OPERATIONS	Develop and maintain budget guidance, policy, and procedures for the field budget process in accordance with this Order, the field budget call, and the DOE Budget Formulation Instructions.	DOE O 130.1	Financial Management	Contracting, Project Director	Budget Formulation
1.04.b	BUSINESS OPERATIONS	Maintain and issue current Field Office budget policies, practices, and procedures in support of the annual field budget process through Field Office directives and manuals.	DOE O 130.1	Financial Management	Contracting, Project Director	Budget Formulation
1.04.c	BUSINESS OPERATIONS	Designate a principal point-of-contact for the budget formulation process.	DOE O 130.1	Project Director	Financial Management, Contracting	Budget Formulation
1.04.d	BUSINESS OPERATIONS	Oversee the field budget process practices and procedures for the Field Office and associated contractors. This includes proper oversight of budget formulation, documentation, cost estimating, and pricing validation reviews (as required) of contractor budget submissions.	DOE O 130.1	Financial Management	Contracting, Project Director	Budget Formulation
1.04.e	BUSINESS OPERATIONS	Conduct budget validation reviews in a timely manner to ensure the data provided to Headquarters field budget submission to Headquarters organizations, submit documentation of the Field Element budget review of contractor budget estimates. This documentation should report any relevant findings and actions to address such findings.	DOE O 130.1	Financial Management	Contracting, Project Director	Budget Formulation
1.04.f	BUSINESS OPERATIONS	Facilitate interactions between Headquarters Elements and contractors	DOE O 130.1	Project Director	Financial Management,	Budget Formulation

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		involving field budget matters.			Contracting	
1.04.g	BUSINESS OPERATIONS	Ensure that field budget submissions are in compliance with guidance and reporting requirements issued in the field budget call and DOE Budget Formulation Instructions.	DOE O 130.1	Financial Management	Contracting, Project Director	Budget Formulation
1.04.h	BUSINESS OPERATIONS	Through the contracting officer, ensure compliance with this Order by M&O and Environmental Restoration Management contracts.	DOE O 130.1	Project Director	Financial Management, Contracting	Budget Formulation
1.04.i	BUSINESS OPERATIONS	Notify and provide the Budget Office with any requests for budget data received directly from Headquarters Elements not contained or referenced in the field budget call or not contained in supplementary field budget guidance issued by the CFO. Such notification is essential in determining whether the direct request is duplicative or adversely impacts the Department's field budget process.	DOE O 130.1	Project Director	Financial Management, Contracting	Budget Formulation
1.04.j	BUSINESS OPERATIONS	Maintain current programs and funding baselines for budget execution.	DOE O 135.1A	Project Director	Financial Management, Contracting	Budget Execution
1.04.k	BUSINESS OPERATIONS	Ensure that significant changes in budget execution are coordinated through the Cognizant Secretarial Officer or NNSA Deputy Administrator before implementation.	DOE O 135.1A	Project Director	Financial Management, Contracting	Budget Execution
1.05.a	BUSINESS OPERATIONS	Maintain stewardship of Federal resources and ensure they are used efficiently and effectively to achieve intended program results.	DOE O 413.1B	Project Director	Financial Management, Logistics Management, Contracting	Management Control Program
1.05.b	BUSINESS OPERATIONS	Establish and maintain a separate management control program as required by this Order.	DOE O 413.1B	Project Director	Financial Management	Management Control Program
1.05.c	BUSINESS OPERATIONS	Ensures that safety is fully integrated into design and construction for high-risk, high-hazard, and Hazard Category 1, 2, and 3 nuclear facilities.	DOE O 413.1B	Project Director	Logistics Management, Contracting	Management Control Program
1.05.d	BUSINESS OPERATIONS	Initiate definition of mission need based on input from Sites, Laboratories, and Program Offices.	DOE O 413.3B	Project Director	Director, Financial Management	Program & Project Management
1.05.e	BUSINESS OPERATIONS	Establish the Integrated Project Team.	DOE O 413.3B	Project Director	Financial Management	Program & Project Management
1.05.f	BUSINESS OPERATIONS	Oversee development of project definition, technical scope, and budget to support mission need.	DOE O 413.3B	Project Director	Financial Management, EM CE&A Center	Program & Project Management
1.05.g	BUSINESS OPERATIONS	Initiate development of the Acquisition Strategy before CD-1 (during the period preceding designation of the Federal Project Director).	DOE O 413.3B	Project Director	Financial Management, Contracting	Program & Project Management
1.05.h	BUSINESS OPERATIONS	Perform functions as Acquisition Executive when so delegated.	DOE O 413.3B	Project Director	Financial Management, Contracting	Program & Project Management
1.05.i	BUSINESS OPERATIONS	Allocate resources throughout the program.	DOE O 413.3B	Project Director	Financial Management, Logistics Management,	Program & Project Management

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
					Contracting, Human Resources	
1.05.j	BUSINESS OPERATIONS	Oversee the project line-management organization and ensure the line project teams have the necessary experience, expertise, and training in design engineering, safety and security analysis, construction	DOE O 413.3B	Project Director	Financial Management	Program & Project Management
1.05.k	BUSINESS OPERATIONS	Serve as the Federal Project Director until the Federal Project Director is appointed.	DOE O 413.3B	EM HQs	EMCBC Director	Program & Project Management
1.05.l	BUSINESS OPERATIONS	Direct initial project planning and execution roles for projects assigned by the Acquisition Executive.	DOE O 413.3B	Project Director	Contracting, Financial Management, EM CE&A Center	Program & Project Management
1.06.a	BUSINESS OPERATIONS	To establish requirements and responsibilities for occupational medical, employee assistance, and workers' compensation programs for Federal employees. Have line accountability for applicable health services/ federal employee.	DOE O 341.1	CBC Director	Human Resources, Logistics Management	Federal Employee Health Services
1.07.a	INTEGRATED SAFETY MANAGEMENT	Coordinate with contracting officers the revision of contracts to comply with requirements of this Order and require contractors to appropriately flow down requirements to subcontractors.	DOE O 420.1B	Project Director	Contracting	Facility Safety
1.07.b	INTEGRATED SAFETY MANAGEMENT	Notify contracting officers when contracts are affected by this Order.	DOE O 420.1B	Project Director	Contracting, Logistics Management	Facility Safety
1.08.a	QUALITY ASSURANCE	Establish, implement, and sustain records management programs within their respective organizations for adequate and proper documentation of Doe mission-related programs in accordance with the requirements of all Federal laws and regulations, Executive Orders, DOE Orders and directives, accepted external standards, and authoritative issuances (e.g., DOE numbered memos or NARA guidance).	DOE O 243.1; 5.b(1)	Project Director	Logistics Management	Records Management
1.08.b	QUALITY ASSURANCE	Provide staff resources to support records management processes within their respective organizations by appointing the following staff members. (c) A records management field officer (RMFO) at each field site or office to implement the records management program at field and area offices in their respective organizations and to act as liaison with the HQ PRO and provide oversight and guidance to contractor records management programs.	DOE O 243.1; 5.b.(3)(c)	Project Director	Logistics Management	Records Management
1.08.c	QUALITY ASSURANCE	Identify program-specific records and ensure that they are listed on a NARA-approved records disposition schedule.	DOE O 243.1; 5.(c)(4)	Project Director	Logistics Management	Records Management
1.08.d	QUALITY ASSURANCE	Identify vital records, which require special handling to ensure their availability for use.	DOE O 243.1; 5.(c)(5)	Project Director	Logistics Management	Records Management
1.08.e	QUALITY ASSURANCE	Ensure permanent records are preserved and temporary records are retired, transferred, or destroyed promptly according to NARA-approved records	DOE O 243.1; 5.(c)(6)	Project Director	Logistics Management	Records Management

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		disposition schedules.				
1.08.f	QUALITY ASSURANCE	Ensure all recordkeeping requirements are established and kept current.	DOE O 243.1; 5(c)(9)	Project Director	Logistics Management	Records Management
1.08.g	QUALITY ASSURANCE	Ensure all personnel with records management responsibilities receive appropriate records management training.	DOE O 243.1; 5(c)(10)	Project Director	Logistics Management	Records Management
1.08.h	QUALITY ASSURANCE	Designate a records management field officer (RMFO), in accordance with DOE O 243.1, to implement the rights and interest records portion of the vital records program in accordance with the requirements of this Order for purposes of record availability.	DOE O 243.2; 7(c)(2)	Project Director	Logistics Management	Vital Records
1.08.i	QUALITY ASSURANCE	Ensure that all staff is aware of and executive appropriate measures to identify and protect vital records.	DOE O 243.2; 7(c)(3)	Project Director	Logistics Management	Vital Records
1.08.j	QUALITY ASSURANCE	Designate responsible individuals for identifying individuals for identifying the contracts in which CRDs must be included and notifying the contracting officers of affected contracts.	DOE O 243.2; 7(c)(4)	Project Director	Logistics Management	Vital Records
1.08.k	QUALITY ASSURANCE	Once notified by the designated organization official, incorporate the CRD into affected contracts.	DOE O 243.2; 7(f)(2)	Contracting	Logistics Management, Project Director	Vital Records
1.09.a	BUSINESS OPERATIONS	a. To establish Department of Energy (DOE) responsibilities, requirements, and allowable cost criteria for the management and oversight of contractor Human Resource Management (HR) programs. b. To ensure that DOE contractors manage their HR Programs to support the DOE mission, promote work force excellence, champion work force diversity, achieve effective cost management performance, and comply with applicable laws and regulations. c. To implement consistent requirements that allows contractors flexibility in determining how to meet the requirements. d. To ensure that all elements of cash and non-cash compensation are considered in the design and implementation of an appropriate total compensation philosophy, but are not used as a means to deflect needed cost reductions in either or both.	DOE O 350.1	CBC Director	Contracting, Financial Management	Contractor HR Mgmt. & Oversight Costs
1.10.a	QUALITY ASSURANCE	Approve training policies and procedures for their DOE element.	DOE O 360.1B	Project Director	Logistics Management, Human Resources	Federal Employee Training
1.10.b	QUALITY ASSURANCE	Prioritize critical needs, provide resources for, plan, assess, and report on training consistent with DOE strategic planning, budget, succession planning, and training administration processes, with specific attention to: (a) Requirements of statutes, regulations, and DOE directives; (b) DOE strategic plan and mission goals and objectives; (c) Governmental and DOE-wide policy and management functions; (d) Scientific and technical personnel and related materials, work processes, security, safety, health, environmental, nuclear, and technical operations needs; and (e)	DOE O 360.1B	Project Director	Logistics Management, Financial Management, Technical Services, HR	Federal Employee Training



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		Manager, supervisor, and team leader training appropriate to the duties and responsibilities of their positions and succession planning needs.				
1.10.c	QUALITY ASSURANCE	Define mandatory training requirements for employees in their element, including manager and supervisor training among other responsibilities.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training.
1.10.d	QUALITY ASSURANCE	Ensure efficient and effective management of training programs for their elements' workforces.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training.
1.10.e	QUALITY ASSURANCE	Designate training approval and authorization officials for their DOE elements.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training
1.10.f	QUALITY ASSURANCE	Assign responsibilities for training requirements and functions, including designation of a training official(s) and a DOE point of contact and an alternate for training programs.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training.
1.10.g	QUALITY ASSURANCE	Approve training agreements for their own elements' programs, agreements with other DOE elements on one-to-one basis, and local geographic area interagency and intergovernmental training-related agreements.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training
1.10.h	QUALITY ASSURANCE	Provide subject matter experts to meet training program requirements.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training
1.10.i	QUALITY ASSURANCE	Waive training completion and continued service obligations for Federal employees prior to separation from DOE, as appropriate.	DOE O 360.1B	Project Director	Human Resources	Federal Employee Training
1.10.j	QUALITY ASSURANCE	Approve acceptance of training-related awards, honorariums, and/or other contributions toward costs of training from Internal Revenue Service recognized 501(c) (3) organizations, with advice from the General Counsel, as required.	DOE O 360.1B	Project Director	Human Resources, Logistics Management	Federal Employee Training
1.10.k	QUALITY ASSURANCE	Identify and submit resource requests to the cognizant Secretarial Officer to provide for adequate implementation of personnel qualification programs;	DOE O 426.2	Project Director	Logistics Management, Human Resources	Training & Qualifications
1.10.l	QUALITY ASSURANCE	Perform periodic systematic evaluations of training and qualification programs using DOE-STD-1070-94 and provide day-to-day oversight of nuclear facility personnel training and qualification activities;	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.m	QUALITY ASSURANCE	Review and approve each Training Implementation Matrix for nuclear facilities;	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.n	QUALITY ASSURANCE	Assure that Operations Office staffing includes an adequate number of persons having expertise in the area of personnel training;	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.o	QUALITY	Approve contractor procedures which are	DOE O	Project	Logistics	Training &



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	ASSURANCE	established to grant exceptions to specific training or qualification requirements for an individual;	426.2	Director	Management	Qualifications
1.10.p	QUALITY ASSURANCE	Approve, on a case by case basis, contractor requests for certification extensions; and	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.q	QUALITY ASSURANCE	Approve contractor assessments of the need for a simulator at Category A test and research reactors.	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.r	QUALITY ASSURANCE	Review the certification and recertification of shift supervisors, senior reactor operators, reactor operators, and fissionable material handlers at Category A reactors and high-hazard non-reactor nuclear facilities. Review may vary from observations to ensure that examinations adequately sample a candidate's knowledge and are properly conducted, to and including actively participating as a CO-evaluator in an examination to determine a candidate's suitability for certification. Review shall include: (a) Periodic attendance at certification oral examinations; (b) Periodic and random review of individual training records; (c) Periodic monitoring and evaluation of annual oral examinations/walkthroughs; (d) Periodic spot checks of oral examinations; initial and continuing training classes, performance of practical factors, operational evaluations, and other training program materials; and (e) Periodic review of certification records.	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.s	QUALITY ASSURANCE	Assure that DOE contractors to whom this Order is applicable, implement the requirements of this Order;	DOE O 426.2	Contracting	Logistics Management, Project Director	Training & Qualifications
1.10.t	QUALITY ASSURANCE	Assure compliance with the mandatory standards of this Order. (2) Notify HS-1 and the appropriate Program Secretarial Officers of requests for exemptions from non-DOE Federal or State mandatory ES&H statutes or implementing directives and the final disposition of such requests, as delineated by Attachment 1. (3) Review, coordinate with, and submit to the appropriate Program Secretarial Officers requests for exemptions from the mandatory standards as delineated by the exemption procedures of Attachment 2. (4) Assure that the level of performance of safety and health is maintained consistent with the intent of the mandatory standards, for those activities under their direction. (5) Prescribe, as appropriate, additional or more stringent standards, based on the determination that such standards are essential to safety and proper performance of their function. (6) Identify needs to EH-1 for new standards to address environment, safety, and health concerns.	DOE O 426.2	Project Director	Logistics Management	Training & Qualifications
1.10.u	INTEGRATED SAFETY	Training and Qualification. Ensuring a training and qualification program is	DOE M 435.1-1;	Project Director	Contracting, Logistics	Training and Qualifications

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	MANAGEMENT	implemented for designated radioactive waste management program personnel, and the training is commensurate with job duties and responsibilities. Only those personnel who have been trained and qualified shall design or operate safety class and safety significant structures, systems, and components.	Paragraph 2.F (11).		Management	
1.11.a	BUSINESS OPERATIONS	Participates in the DOE certification program for real estate specialists.	DOE O 430.1B; Paragraph 5(h)	Logistics Management	Project Director	Real Property Asset Management
1.11.b	BUSINESS OPERATIONS	Reviews and submits the TYSP to the LPSO for approval.	DOE O 430.1B; Paragraph 5(h) –	Logistics Management,	Project Director, Financial Management, EM CE&A enter	Real Property Asset
1.11.c	BUSINESS OPERATIONS	Oversees implementation of the requirements in this Order at the site consistent with the annual program direction and guidance issued by the LPSO responsible for the site.	DOE O 430.1B; Paragraph 5(h) – Single Program Site	Project Director	Logistics Management	Real Property Asset
1.11.d	BUSINESS OPERATIONS	Identifies and reports in FIMS mission essential real property assets that directly support these program defined mission requirements	DOE O 430.1B; Paragraph 5(h) – Single Program Site	Project Director	Logistics Management	Real Property Asset
1.11.e	BUSINESS OPERATIONS	Normally serves as the DOE Contracting officer's representative for site Contractors as designated by those Contractors (unless otherwise delegated) and all other Contractors and financial assistance agreements executed at the site. (a) Ensures applicable requirements found in this Order are implemented through site Contractors and sub-Contractors. (b) Establishes and uses agreed upon performance-based measures and expectations for real property assets.	DOE O 430.1B; Paragraph 5(h) – Single Program Site	Project Director	Logistics Management, Contracting	Real Property Asset
1.11.f	BUSINESS OPERATIONS	Monitors Order implementation through the establishment, by Contractor or financial assistance agreement, of a site-specific performance measurement system. Through the performance measurement system, the site/field manager— (a) develops output-/outcome-based performance measures to drive achievement of the corporate and real property asset performance; (b) leads in negotiating performance measures with Contractors to meet defined performance; (c) performs assessments of Contractor or performance in accordance with the performance measurement system; (d) uses independent or line management oversight to verify effectiveness of assessments, identify deficiencies, and recommend corrective actions; and (e) ensures population and validation of data in FIMS and that objectives of the condition assessment program defined in paragraph 4d of this Order are met.	DOE O 430.1B; Paragraph 5(h) – Single Program Site	Logistics Management	Contracting, Financial Management, Project Director	Real Property Asset

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
1.11.g	BUSINESS OPERATIONS	Is accountable to the LPSO for the proper stewardship of real property assets at the site, including maintaining the condition of infrastructure to support mission activities reliably, efficiently, and effectively.	DOE O 430.1B; Paragraph 5(h) – Program Site	Logistics Management	Project Director	Real Property Asset
1.11.h	BUSINESS OPERATIONS	Develops components for the site's strategic plan that link real property assets to missions, and establishes a rational basis for real property asset plans and budgets.	DOE O 430.1B; Paragraph 5(h) Single – Program Site	Project Director	Logistics Management	Real Property Asset
1.11.i	BUSINESS OPERATIONS	Coordinates the facilities management requirements and activities at the site including LPSO/CSOs/PSOs and other non-DOE tenants/owners. Secures agreements with non-DOE tenant/owners regarding their facilities and infrastructure responsibilities at the site.	DOE O 430.1B; Paragraph 5(l) – Multiprogram Site	Project Director	Logistics Management	Real Property Asset Management
1.11.j	BUSINESS OPERATIONS	Determines whether other site program needs can be met with property affected by program mission terminations.	DOE O 430.1B; Paragraph 5(l) – Multiprogram Site	Project Director	Logistics Management	Real Property Asset Management
1.11.k	BUSINESS OPERATIONS	Presents a single, coordinated TYSP, including any tenant-specific TYSPs.	DOE O 430.1B; Paragraph 5(l) – Multiprogram Site	Project Director	Logistics Management	Real Property Asset Management
1.12.a	BUSINESS OPERATIONS	<p>(1) Lead in negotiating energy management and utilities management performance objectives, measures, and annual expectations with their contractors.</p> <p>(2) Evaluate, at least annually, the performance of contractors against field and FEMP established performance objectives and leadership goals, measures, and expectations to implement the requirements in paragraph 4.</p> <p>(3) Incorporate performance objectives using a graded approach into energy and utilities management processes.</p> <p>(4) Prepare initial budget requests and planning for utilities and support budgets at their sites to accomplish energy management objectives.</p> <p>(5) Incorporate the CRD into appropriate contracts.</p> <p>(6) With respect to energy management</p> <p>(a) Set individual site goals that contribute to the Department achieving the DOE-wide leadership goals of paragraph 1(c).</p> <p>(b) Implement the Departmental Energy Management Program through energy management programs and energy management plans at their sites.</p> <p>(c) Demonstrate implementation of the requirements and achievement of the goals in paragraph 4 at their sites by providing FEMP with the input for reports required by statute and regulation. Field elements may prioritize implementation of the requirements based on each site's potential for life cycle cost-effective energy efficiency improvements as long as the field element demonstrates continuous progress toward</p>	DOE O 436.1	CBC Director	Logistics Management, Contracting, Legal Services	Energy & Utility Management

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		<p>the objectives and leadership goals. Attachment 2 describes the DOE corporate energy cost and consumption reporting system and database, Energy Management System, and the various statutory and regulatory reports provided by DOE to the Administration and Congress.</p> <p>(d) Submit all ESPC proposals to FEMP, in coordination with their line management, for coordination of concurrence, and await notification from DOE's ESPC Review Board to proceed.</p> <p>(e) For new buildings with areas of 10,000 gross square feet or greater, or with an estimated energy use of 500 million British thermal units or greater, submit certification to FEMP at the end of Title II design, including worksheets and summaries that demonstrate that the design meets Federal performance standards for energy efficiency and that the design incorporates sustainable design principles. Attachment 3 contains further guidance.</p> <p>(7) With respect to utilities management</p> <p>(a) Lead the verification of a life cycle cost-effective approach to utilities planning, acquisition, and management in coordination with program offices and FEMP.</p> <p>(b) With General Counsel and FEMP, participate in DOE's utilities intervention process.</p> <p>(c) Submit to FEMP, in coordination with their line management, for concurrence or recommendation for approval to NNSA, all contracts, contract modifications (excluding administrative or incremental funding modifications), or other arrangements with a utility company for the acquisition and sale of utility services. These utility services include energy conservation measures or demand-side management services or other utilities incentive programs.</p>				
1.13.a	INTEGRATED SAFETY MANAGEMENT	<p>a. Aviation Implementation Plans. Each DOE program or field element that has management responsibility for (1) assigned Federal aircraft (see Attachment 3, Definitions) or (2) uses commercial aviation services (CAS; see Attachment 3, Definitions) must develop and publish an aviation implementation plan (AIP; see Attachment 3, Definitions) detailing the standards, operating parameters, airworthiness criteria, security procedures and safety systems of its planned aviation operations. As a minimum, the AIP will address all applicable requirements of this Order and other related requirements established by DOE policy.</p>	DOE O 440.2B	Project Director	Logistics Management	Aviation
<b>2. Define Scope of Work</b>						
2.01.a	QUALITY ASSURANCE	<p>f. Heads of Field Elements.</p> <p>(1) Ensure that employees within their organizations participate in the development and coordination of directives through the Directives Program as required by this Order and DOE M 251.1-1B.</p> <p>(2) Designate responsible individuals to</p>	DOE O 251.1C	CBC Director	Logistics Management, Office of the Director	Directives Program

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		<p>serve as DPCs.</p> <p>(3) Report suggested comments, lessons learned, and best practices in DOE directives to the responsible OPIs and Office of Information Resources.</p> <p>(4) Determine which CRDs should be incorporated into contracts.</p> <p>(5) Require that DPCs, writers, and others involved in the directives process participate in directives program mandatory initial and annual refresher training.</p>				
2.01.b	QUALITY ASSURANCE	(2) Contracting Officers/Contracting Officer Representatives. Once notified that contracts under their purview are affected by a CRD, negotiate requirements of the CRD into the laws, regulations, and DOE directives clause of affected contracts.	DOE O 251.1B	Contracting	Contracting, Logistics Management	Directives Program
2.02.a	QUALITY ASSURANCE	<p>b. Field Office Managers whose organizations are involved in technical standards activities in support of DOE.</p> <p>(1) Manage their organization's participation in the DOE TSP.</p> <p>(2) Designate a TSM to serve as the organization's point of contact for technical standards activities and coordinate with the TSP by participating in the TSMC.</p> <p>(3) Ensure that technical standards identified or developed by their elements for DOE-wide use are products of the TSP or recognized standards development organizations.</p> <p>(4) Preferentially use appropriate voluntary consensus standards in lieu of developing internal DOE Technical Standards to support DOE missions and functions.</p>	DOE O 252.1A	Project Director	Logistics Management, Technical Services	Technical Standards
2.03.a	BUSINESS OPERATIONS	<p>(1) Ensure work to be assigned by work authorization—</p> <p>(a) is within the contracting officer's representative's (COR's) delegated authority and</p> <p>(b) is not duplicative of other ongoing work under the contractor's responsibility.</p> <p>(2) Ensure work performed by contractors does not violate constraints on use of DOE-controlled facilities and is carried out in a manner that protects the workers, the public, and the environment against ES&amp;H hazards and safeguards and security risks arising from the performance of contract work.</p> <p>(3) Ensure work authorization requirements have been satisfied before authorization to proceed and that the contractor has a clear understanding of what is required by the sponsoring program office before work commences.</p> <p>(4) Review all work authorizations under their cognizance to ensure they are appropriate for performance; within mission; and for institutional plans as applicable, within scope and agreed to general levels of effort.</p> <p>(5) Issue and revise work authorizations for assigned work if the assignment decision</p>	DOE O 412.1A	CBC Director, Project Director	Contracting, Logistics Management	Work Authorization

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		<p>has been delegated.</p> <p>(6) Ensure the contractor provides a signed copy of the work authorization and all required reports to Program Secretarial Officers as required.</p> <p>(7) Monitor performance and reports submitted by contractors to ensure that work performed and costs incurred conform to work authorizations issued.</p> <p>(8) Authorize work in accordance with the AFP, programmatic guidance, contract-specific COR appointment letters, and established procedures for administrative control of funds.</p> <p>(9) Ensure costs related to work authorizations can be adequately tracked before issuing authorizations.</p> <p>(10) Review work proposals prepared by contractors for consistency with program and other guidance.</p> <p>(11) Transmit work proposals, with any comments and recommendations, to program offices in accordance with program guidance and budget time frames issued by the Chief Financial Officer.</p> <p>(12) Ensure contractors provide technical information to the Director of Scientific and Technical Information in accordance with reference 7d below.</p> <p>(13) Perform contract oversight activities in accordance with the contract-specific COR appointment letter.</p>				
2.04.a	QUALITY ASSURANCE	<p>Compliance with Procedural Requirements</p> <p>The sites are committed to fully comply with procedures established by law – including the Administrative Procedure Act, the DOE Organization Act, the National Environmental Policy Act and the Atomic Energy Act – in developing nuclear safety requirements. Moreover, the EMCBC is committed, as documented in DOE P 1210.1, GUIDANCE ON IMPLEMENTATION OF THE DEPARTMENT'S PUBLIC PARTICIPATION POLICY, to make public participation a fundamental component in decision-making within the CBC.</p>	DOE O 410.1	CBC Director	Office of the Director, Logistics Management, Legal Services	Promulgating Nuclear Safety Requirements
<b>3. Analyze Hazards</b>						
3.01.a	QUALITY ASSURANCE	DOE will examine and approve the technical safety requirements as part of preparing the safety evaluation report and reviewing updates to the safety basis. As with all hazards controls, technical safety requirements report and reviewing updates to the safety basis. As with all hazard controls, technical safety requirements Part 830 – General Statement of Safety must be kept current and reflect changes in the facility, the work and the hazards as they are analyzed in the documented safety analysis. In addition, DOE expects a contractor to maintain technical safety requirements, and other hazard controls as	10 CFR 830. Appendix A to Subpart B to Part 830 – General Statement of Safety Basis Policy, paragraph(F. 3)	Project Director	Legal Services, Contracting, Logistics Management	Safety Basis

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		appropriate, as controlled documents with an authorized users list.				
3.01.b	QUALITY ASSURANCE	Ensures that the Safety Basis for support facilities is adequate and complies with the safety basis requirements of 10 CFR 830.	10 CFR 830. Appendix A to Subpart B to Part 830 – General Statement of Safety Basis Policy, paragraph(l. 1)	Project Director	Legal Services, Contracting, Logistics Management	Safety Basis
3.02.a	INTEGRATED SAFETY MANAGEMENT	Include in new contracts and grants a provision that the awardees may not undertake on DOE's behalf an action that is subject to NEPA until DOE has notified the awardee that DOE has satisfied applicable NEPA.	DOE O 451.1B Chg1	Project Director	Logistics Management, Contracting, Legal Services	NEPA
3.02.b	INTEGRATED SAFETY MANAGEMENT	Incorporate NEPA milestones in project planning documents.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.02.c	INTEGRATED SAFETY MANAGEMENT	Incorporate NEPA compliance status information in internal budget review documents.	DOE O 451.1B Chg1	Project Director	Logistics Management, Financial Management, Legal Services	NEPA
3.02.d	INTEGRATED SAFETY MANAGEMENT	Determine that an environmental assessment or an environmental impact statement is appropriate or required.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.02.e	INTEGRATED SAFETY MANAGEMENT	After an environmental assessment determination, prepare and issue an environmental assessment. Responsibilities for approving and adopting environmental assessments and issuing findings of no significant impact may not be delegated except as provided in this Order. In addition to meeting requirements established in the Regulations, responsibilities include⊗a)When another agency is involved in preparation, determining whether DOE shall be a lead or cooperating agency.(b)Obtaining concurrence of DOE Counsel in the legal adequacy of an environmental assessment before it is approved and in any finding of no significant impact before it is issued.(c)Determining, based on an environmental assessment, that the impacts of a proposed action are significant and that an environmental impact statement is required, or issuing a finding of no significant impact when appropriate. (d)Adopting another agency's environmental assessment.(e)When a commitment to mitigation is essential to render the impacts of a proposed action not significant, preparing a mitigation action plan for any such commitment before issuing the finding of no significant impact. (f)Tracking and annually reporting progress made in implementing, and the effectiveness of, any commitment for	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA



	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		environmental impact mitigation that is essential to render the impacts of a proposed action not significant.				
3.02.f	INTEGRATED SAFETY MANAGEMENT	Request from the Office of the General Counsel (GC-54) delegation of approval or adoption authority for a specific environmental impact statement when appropriate to expedite the review and approval process.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.02.g	INTEGRATED SAFETY MANAGEMENT	When required by the Regulations, prepare a supplement analysis and with the concurrence of DOE counsel, determine whether a supplemental or a new environmental impact statement is required for a proposed action, or whether no further documentation is required.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.02.h	INTEGRATED SAFETY MANAGEMENT	Determine that a proposed action that may be an interim action is clearly allowable under the Regulations. For a proposed action that may be an interim action not clearly allowable under the Regulations, provide the Office of NEPA Policy and Compliance (GC-54) with a recommendation for a determination whether the proposed action may proceed.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.02.i	INTEGRATED SAFETY MANAGEMENT	Incorporate NEPA values, such as analysis of cumulative, off-site, ecological, and socioeconomic impacts, to the extent practicable, in DOE documents prepared under the Comprehensive Environmental Response, Compensation, and Liability Act.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.02.j	INTEGRATED SAFETY MANAGEMENT	When appropriate, request from the Assistant Secretary for Environment, Safety and Health a variance from the DOE NEPA Regulations or from this Order.	DOE O 451.1B Chg1	Project Director	Logistics Management, Legal Services	NEPA
3.17.k	INTEGRATED SAFETY MANAGEMENT	Establish a NEPA Compliance program and use the NEPA process early in project and program planning to consider environmental factors along with other relevant information.	DOE O 451.1B Chg1	Project Director	Logistics Management	NEPA
3.17.l	INTEGRATED SAFETY MANAGEMENT	Maintain a DOE NEPA Compliance Officer for the office and designate a DOE NEPA Document Manager at the start of each environmental assessment and environmental impact statement.	DOE O 451.1B Chg1	Project Director	Logistics Management	NEPA
<b>4. Develop and Implement Controls</b>						
4.01.a	INTEGRATED SAFETY MANAGEMENT	Review and approve the authorizations agreements for hazard category 2 (and below) facilities.	EM-3 Delegation of Authority Memo dated 4/4/07, DOE M 411.1-1C, Table 6.	Project Director	Logistics Management	Authorization Agreement for Haz Cat. 2 (& below)
4.02.a	OVERSIGHT	Both the Department of Energy Organization Act, 42 U.S.C. 7101, and the Atomic Energy Act of 1954, as amended, 42 U.S.C. 2011, require DOE to protect the public health and safety, as well as the	10CFR820 Appendix A to Subpart B	Project Director	Legal Services, Contracting, Logistics Management	Procedural Rules for DOE Nuclear Activities

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		safety of workers at DOE facilities, in conducting its nuclear activities, and grant DOE broad authority to achieve this goal.				
4.03.a	INTEGRATED SAFETY MANAGEMENT	(a) Preparation and submission of worker safety and health program. By February 26, 2007, contractors must submit to the appropriate Head of DOE Field Element for approval a written worker safety and health program that provides the methods for implementing the requirements of Subpart C of this part.	10 CFR 851.10	Project Director	Contracting	Worker Safety & Health Program
4.03.b	INTEGRATED SAFETY MANAGEMENT	(1) If a contractor is responsible for more than one covered workplace at a DOE site, the contractor must establish and maintain a single worker safety and health program for the covered workplaces for which the contractor is responsible.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.c	INTEGRATED SAFETY MANAGEMENT	(2) If more than one contractor is responsible for covered workplaces, each contractor must:	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.d	INTEGRATED SAFETY MANAGEMENT	(i) Establish and maintain a worker safety and health program for the workplaces for which the contractor is responsible; and	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.e	INTEGRATED SAFETY MANAGEMENT	(ii) Coordinate with the other contractors responsible for work at the covered workplaces to ensure that there are clear roles, responsibilities and procedures to ensure the safety and health of workers at multi-contractor workplaces.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.f	INTEGRATED SAFETY MANAGEMENT	(3) The worker safety and health program must describe how the contractor will:	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.g	INTEGRATED SAFETY MANAGEMENT	(i) Comply with the requirements set forth in Subpart C of this part that are applicable to the covered workplace, including the methods for implementing those requirements; and	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.h	INTEGRATED SAFETY MANAGEMENT	(ii) Integrate the requirements set forth in Subpart C of this part that are applicable to a covered workplace with other related site-specific worker protection activities and with the integrated safety management system.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.i	INTEGRATED SAFETY MANAGEMENT	(b) DOE evaluation and approval. The Head of DOE Field Element must complete a review and provide written approval of the contractor's worker safety and health program, within 90 days of receiving the document. The worker safety and health program and any updates are deemed approved 90 days after submission if they are not specifically approved or rejected by DOE earlier.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.j	INTEGRATED SAFETY MANAGEMENT	(1) No work to be performed at a covered workplace unless an approved worker safety and health program is in place for the	10 CFR 851.10	Project Director	Contracting, Logistics Management,	Worker Safety & Health Program

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		workplace.			Technical Services	
4.03.k	INTEGRATED SAFETY MANAGEMENT	(2) Contractors must send a copy of the approved program to the Office of Health Safety and Security	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.03.l	INTEGRATED SAFETY MANAGEMENT	(3) Contractors must furnish a copy of the approved worker safety and health program, upon written request, to the affected workers or their designated representatives.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health Program
4.04.a	INTEGRATED SAFETY MANAGEMENT	Focus the Department line management officials on conducting cleanup that is aimed at, and achieves, clearly defined, risk-based end states. Risk-based end states are representations of site conditions and associated information that reflect the planned future use of the property and are appropriately protective of human health and the environment consistent with that use.	DOE P 455.1	Project Director	Logistics Management	Risk-based - Based End State Vision
4.05.a	INTEGRATED SAFETY MANAGEMENT	Report to the Cognizant Program Secretarial Officer of the status regarding whether the EMS requirements of DOE O 450.1 have been integrated into ISMSs by site Contractors.	DOE O 436.1	Project Director	Logistics Management	Environmental Protection Program
4.05.b	INTEGRATED SAFETY MANAGEMENT	Ensure Contractors with approved ISMS descriptions update the ISMS descriptions, as necessary, to include the EMS requirements of this Order.	DOE O 436.1	Project Director	Logistics Management	Environmental Protection Program
4.05.c	INTEGRATED SAFETY MANAGEMENT	Obtain, as appropriate, local community advice relevant to aspects of Executive Order 13101; Executive Order 13221, "Energy Efficiency Standby Power Devices"; Executive Order 13123, "Greening the Government Through Efficient Energy Management;" Executive Order 13148; and Executive Order 13149, "Greening the Government Through Federal Fleet and Transportation Efficiency," through new or existing outreach programs.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.d	INTEGRATED SAFETY MANAGEMENT	Incorporate, where appropriate, environmentally and economically beneficial landscape practices into all new landscaping programs, policies, and practices for facilities under their purview, in furtherance of compliance with Executive Order 13148.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.e	INTEGRATED SAFETY MANAGEMENT	Where appropriate, ensure implementation of centralized procurement and distribution programs (e.g., pharmacy) for purchasing, tracking, distributing, and managing materials with toxic or hazardous content at facilities under their purview.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.f	INTEGRATED SAFETY MANAGEMENT	Notify the Director, Strategic Materials, Legacy Management as to the type and quantity of ODS transferred to the Department of Defense (DoD) ODS Reserve.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.g	INTEGRATED	Ensure site annual budgetary processes	DOE O	Project	Logistics	Environmental

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	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	SAFETY MANAGEMENT	include the funding and resources needed to implement this Order, including P2 program implementation and monitoring.	436.1	Director	Management, Contracting	Protection Program
4.05.h	INTEGRATED SAFETY MANAGEMENT	Ensure the analytical work supporting environmental monitoring is implemented using— (a) a consistent system for collecting, assessing, and documenting environmental data of known and documented quality; (b) a validated and consistent approach for sampling and analysis of radionuclide samples to ensure laboratory data meets program-specific needs and requirements within the framework of a performance-based approach for analytical laboratory work; and (c) an integrated sampling approach to avoid duplicative data collection.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.i	INTEGRATED SAFETY MANAGEMENT	Consider P2 in the specification and acquisition of departmental supplies to cost effectively maximize procurement of recycled content and bio based content materials, and other environmentally preferable products.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.j	INTEGRATED SAFETY MANAGEMENT	Coordinate all acquisitions with the Department's "Green Acquisition Advocates" established pursuant to Acquisition Letter AL-2002-05, dated 07/10/02.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.k	INTEGRATED SAFETY MANAGEMENT	Comply with the requirements of the Emergency Planning and Community Right-to-Know Act (EPCRA or Title III of Superfund Amendments and Reauthorization Act of 1986), 42 U.S.C. 11001, and the Pollution Prevention Act of 1990, 42 U.S.C. 13101, et seq.	DOE O 436.1	Project Director	Logistics Management	Environmental Protection Program
4.05.l	INTEGRATED SAFETY MANAGEMENT	Develop and implement a program and procedures to maximize the use of safe alternatives to ODS whereby— (a) procurement of Class I ODS for all non excepted uses is discontinued by December 31, 2010, consistent with Executive Order 13148, and (b) coordination is conducted within DOE and with DoD, as appropriate, before disposal of ODS removed or reclaimed from equipment (including disposal as part of a Contract, trade, or donation), and for situations in which the recovered ODS is a critical requirement for DoD missions, the DOE facility transfers the ODS to DoD.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
4.05.m	INTEGRATED SAFETY MANAGEMENT	Determine which Contracts are affected by the requirements of this Order and ensure that the CRD is incorporated into only those Contracts for which it is appropriate.	DOE O 436.1	Logistics Management	Contracting, Project Director	Environmental Protection Program
4.06.a	INTEGRATED SAFETY MANAGEMENT	Ensures that proposed changes that decrease the effectiveness of the RPP are not implemented without submittal to and approval by DOE; otherwise, changes, additions, or updates to an RPP may	10 CFR 835; Subpart B. 101. (h)	Project Director	Legal Services, Contracting	Occupational Radiation Protection

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	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		become effective without prior Department approval if the changes do not decrease the effectiveness of the RPP; and the RPP, as changed, continues to meet the requirements of 835.101.				
4.06.b	INTEGRATED SAFETY MANAGEMENT	Review and either direct changes to or approve contractor Radiation Protection Programs and Implementation Plans for 10 CFR 835 within 180 days after submittal to DOE.	10 CFR 835, Subpart B 835.101 (a) and (b), EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Occupational Radiation Protection
4.07.a	QUALITY ASSURANCE	For Hazard category 2 and 3 (and below) nuclear facilities: Establish and approve the safety and authorization basis in accordance with 10 CFR Part 830	10 CFR 830, Subpart B 830.202 (a) and (b) and Subpart B Appendix A, EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety
4.07.b	QUALITY ASSURANCE	Approve final hazard categorization for category 2 and 3 nuclear facilities.	10 CFR 830, Subpart B 830.202 (b) & Appendix A F.3, EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety
4.07.c	QUALITY ASSURANCE	For hazard category 2 & 3 nuclear facilities: Approve Un-reviewed Safety Question (USQ) procedures and processes of the contractor.	10 CFR 830, Subpart B 830.203 (b) & (c), EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety
4.07.d	QUALITY ASSURANCE	Approve changes determined to involve an USQ prior to implementation, and approve continued operations when an USQ is determined to exist.	10 CFR 830, Subpart B 830.203 (e), EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety
4.07.e	QUALITY ASSURANCE	For hazard category 2 and 3 nuclear facilities: Approve the methodology, with Environment, Safety and Health concurrence, used to prepare the Documented Safety Analysis (DSA), including the criteria for classifying nuclear safety structures, systems, and components, and document the basis for approval whenever the contractor does not use a methodology from Table 2 of Appendix A to Subpart B of 10 CFR 830.	10 CFR 830, DOE Subpart B 830.204(a), EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety
4.07.f	QUALITY ASSURANCE	Approve Technical Safety Requirements, and revisions thereto, and other hazards controls for hazard category 2 and 3 (and	10 CFR 830, Subpart B 830.205(a)	Project Director	Logistics Management	Nuclear Safety

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		below) nuclear facilities.	(2), EM-3 Delegation of Authority Memo dated 4/4/07.			
4.07.g	QUALITY ASSURANCE	Ensures a timely review of all documents submitted to DOE for hazard category 2 and 3 facilities. (b) Ensures that a Safety Evaluation Report (SER) is prepared.	10 CFR 830. Appendix A to Subpart B to Part 830 – General Statement of Safety Basis Policy, paragraph(l. 1)	Project Director	Logistics Management	Safety Basis
4.07.h	QUALITY ASSURANCE	For hazard category 2 & 3 nuclear facilities: Approve the preliminary DSAs, including nuclear safety criteria where required.	10 CFR 830, Subpart B 830.206 (b) (1) and (2). EM-3 Delegation of Authority Memo dated 4/4/07,	Project Director	Logistics Management	Nuclear Safety
4.07.i	QUALITY ASSURANCE	As part of the approval process, DOE will review the content and quality of the safety basis documentation. DOE intends to use the approval process to assess the adequacy of a safety basis developed by a contractor to ensure that workers, the public, and the environment are provided reasonable assurance of adequate protection from identified hazards. Once approved by DOE, the safety basis documentation will not be subject Policy, to regulatory enforcement actions unless DOE determines that the information which supports the documentation is not complete and accurate in all material respects, as required by 10 CFR 820.11. This is consistent with the DOE enforcement provisions and policy in 10 CFR Part 820.	10 CFR 830, Appendix A to subpart B to Part 830- General Statement of Safety.	Project Director	Legal Services, Logistics Management, Contracting	Safety Basis
4.07.j	QUALITY ASSURANCE	For hazards category 2 & 3 nuclear facilities: Approve the DSA reports and revisions thereto.	10 CFR 830, Subpart B 830.207 (b) and (d). EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety
4.07.k	QUALITY ASSURANCE	DOE expects a contractor to use a graded approach to develop a documented safety analysis and describe how the graded approach was applied. The level of detail, analysis, and documentation will reflect the complexity and hazard associated with a particular facility. Thus, the documented safety analysis for a simple, low hazard facility may be relatively short and qualitative in nature, while the documented safety analysis for a Safety Basis Policy complex, high hazard facility may be quite	10 CFR 830, Appendix A to Subpart B to Part 830 – General Statement of Safety Basis Policy, paragraph (F-2).	Project Director	Legal Services, Contracting	Safety Basis



	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		elaborate and more quantitative. DOE will work with its Contractors to ensure a documented safety analysis is being for the facility for which it is being developed.				
4.08.a	INTEGRATED SAFETY MANAGEMENT	Ensure that procurement requests include applicable requirements in the CRD for this Order to be applied to awards or sub awards.	DOE O 420.1B	Project Director	Contracting, Logistics Management	Facility Safety
4.08.b	INTEGRATED SAFETY MANAGEMENT	Ensure that the facilities, activities, and programs under their purview operate in compliance with the requirements of this Order and the CRD.	DOE O 420.1B	Project Director	Logistics Management, Technical Services	Facility Safety
4.08.c	INTEGRATED SAFETY MANAGEMENT	Ensure that all procurement requests for work within the scope of this Order, including work requests to be performed through sub-Contractors, include the appropriate requirements of the attached CRD.	DOE O 420.1B	Project Director	Contracting, Logistics Management	Facility Safety
4.08.d	INTEGRATED SAFETY MANAGEMENT	Review and approve— (a) fire department baseline needs assessments, where applicable; (b) CSP description documents; (c) plans for upgrades to correct deficiencies in natural phenomena hazards mitigation for existing structures, systems, and components; (d) recommendations to update NPH assessments; (e) the qualification program for criticality safety staff; (f) shipping containers for off-site shipment that are used to exclude materials from the requirement for a criticality alarm system (CAS) or a criticality detection system (CDS); and (g) the method for preparing criticality safety evaluations.	DOE O 420.1B	Project Director	Logistics Management	Facility Safety
4.08.e	INTEGRATED SAFETY MANAGEMENT	5.b.: Authority to review and approve contractor implementation of DOE O 420.1, Facility Safety (including the authority to approve exemptions to this Order that is included in the referenced paragraph), and ensure all programs comply with this Order	DOE O 420.1B. EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management, Contracting	Facility Safety
4.08.f	INTEGRATED SAFETY MANAGEMENT	Specify the frequency of the Contractor's periodic facility assessment for fire protection.	DOE O 420.1B	Project Director	Logistics Management	Facility Safety
4.08.g	INTEGRATED SAFETY MANAGEMENT	Unless otherwise directed by the Secretarial Officer fulfills the role and responsibilities for the authority having jurisdiction (AHJ) for matters involving fire protection as defined by the National Fire Protection Association (NFPA) Codes and standards. Ensure any comments from designated fire protection subject matter experts (SMEs) are appropriately addressed.	DOE O 420.1B	Project Director	Logistics Management	Facility Safety
4.09.a	INTEGRATED SAFETY MANAGEMENT	Field Office Managers. (Note: the term "field office" is used throughout to indicate the DOE field office with direct management and oversight of operational activities, which may be performed by contractors or at Government-Owned, Government-Operated (GO-GO) facility personnel. "Field offices" may have various other designations, including operations office, site office, and project office. Where	DOE O 450.2	Project Director	Contracting, Logistics Management	ISMS Manual



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	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		<p>multiple levels of DOE field organizations exist, applicable DOE Secretarial offices should determine in their ISM system descriptions how to apply these responsibilities.)</p> <p>(1) Develop, approve, maintain, and implement field office ISM systems, as described in ISM system descriptions, which are complete, accurate and up-to-date; provide field office ISM system descriptions to the applicable Secretarial office for information.</p> <p>(2) Integrate EMS and QAP into the field office ISM system, pursuant to DOE O 450.1, Environmental Protection Program, and DOE O 414.1C, Quality Assurance Plan.</p> <p>(3) Review and approve the contractor's ISM system descriptions and updates, as needed. This review includes verifying that the Contractor's ISM system effectively coordinates with the DOE field office ISM system as a condition of approval. If the contractor states that changes are not needed, then review and approve the rationale for that decision. Conduct line oversight of the field office's contractor implementation of ISM, consistent with the requirements and guidance of DOE O 226.1, Implementation of Department of Energy Oversight Policy.</p> <p>(4) Perform an annual ISM effectiveness review and using the results of this review, make an annual declaration in writing of the status and effectiveness of ISM implementation within the field office and the contractor's organizations, and submit this declaration to the applicable Secretarial office.</p> <p>(5) Prepare annual field office safety performance objectives, measures, and commitments, and provide to the applicable DOE Secretarial office.</p> <p>(6) Designate an ISM Champion to support ISM implementation activities as directed.</p> <p>(7) Use the results of the annual ISM effectiveness review and the annual ISM declaration to drive ownership and improvement. Communicate implementation and improvement expectations through clear, timely, and accurate feedback to DOE personnel (through performance appraisals, for example) and to contractor organizations (through contract fee determinations and contract performance objectives and incentives, for example).</p> <p>(8) Provide direction, including reporting dates, to contractors for annual ISM effectiveness reviews, Annual ISM declarations, and Annual safety performance objectives, measures, and commitments.</p> <p>(9) Determine whether and when to conduct full ISM verifications of field office ISM activities, encompassing both federal and contractor implementation of ISM,</p>				

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		consistent with the guidance in Attachment 4 of this Manual, Guidelines for improving DOE ISM Systems Implementation.				
4.10.a	INTEGRATED SAFETY MANAGEMENT	Approve the contract Environment, Safety and Health (RS&H) requirements.	DEAR Clause 970.5204-2. EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management, Contracting	DEAR Clause 970.5204-2
4.11.a	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Implement those portions of the EM Program Office's S&S Management Plan applicable to the EMCBC.	DOE O 470.4A	Project Director	Logistics Management	Safeguard and Security Program
4.11.b	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Develop and implement S&S procedures and provide oversight and technical direction as requested or warranted.	DOE O 470.4A	Project Director	Logistics Management	Safeguard and Security Program
4.11.c	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Submits S&S budget requests and utilizes funds appropriated to S&S activities.	DOE O 470.4A	Project Director	Logistics Management	Safeguard and Security Program
4.11.d	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Implement applicable S&S directives by ensuring that physical, personnel, information, and nuclear material control and accountability programs and protective force operations are implemented in conformance with Departmental policy.	DOE O 470.4A	Project Director	Logistics Management	Safeguard and Security Program
4.11.e	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Assist contracting officers in determining the S&S contractor requirements documents and security clauses applicable to contracts.	DOE O 470.4A	Logistics Management	Project Director	Safeguard and Security Program
4.11.f	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Promptly notify the Program Office of any condition or event when continued operations would result in an unacceptable risk to national security and/or to the health and safety of DOE and contractor employees, the public, or the environment.	DOE O 470.4A	Project Director	Logistics Management	Safeguard and Security Program
4.11.g	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Implement security condition requirements to the extent possible, and remain vigilant for any local conditions that could warrant application of additional measures.	DOE M 470.4-1	Project Director	Logistics Management	Safeguard and Security Program Planning and Management
4.11.h	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Ensure that S&S personnel under their cognizance are managed, trained, and equipped, and are provided other forms of support needed to maintain protection of S&S interests.	DOE M 470.4-1	Project Director	Logistics Management	Safeguard and Security Program Planning and Management
4.11.i	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Implement procedures regarding incidents of security concern, and provide sufficient resources to perform initial notifications, conduct inquiries and implement corrective actions.	DOE M 470.4-1	Project Director	Logistics Management	Safeguard and Security Program Planning and Management
4.11.j	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Ensure that required S&S surveys are conducted and reported.	DOE M 470.4-1	Project Director	Logistics Management	Safeguard and Security Program Planning and Management
4.11.k	INTEGRATED SAFEGUARD AND SECURITY MANAGEMENT	Ensure that S&S interests are appropriately registered, to include adherence to Foreign Ownership, Control or Influence Program and Facility Clearance Program requirements.	DOE M 470.4-1	Project Director	Logistics Management	Safeguard and Security Program Planning and Management
4.12.a	OVERSIGHT	Heads of Field Elements/Heads of	DOE O	Project	Contracting,	Independent

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		contracting Activities shall ensure that the CRD attached to this Order is incorporated into all DOE site/facility management contracts pursuant to the clause entitled Laws, regulations, and DOE directives, 48 CFR 970.5204-2, by notifying the contracting officer. Once notified, the contracting officer shall be responsible for incorporating the CRD without modification into the contracts, as soon as practicable, but no later than 6 months after the effective date (10/31/02) of the Independent Oversight and Performance Assurance Program's order.	470.2B; Paragraph 5.d (1)	Director	Logistics Management	Oversight & Performance Assurance Program
4.12.b	OVERSIGHT	Heads of Field Elements review draft appraisal reports for factual accuracy, and prepare corrective action plans within the time frames prescribed in this Order.	DOE O 470.2B; Paragraph 5.d (2)	Project Director	Logistics Management	Independent Oversight & Performance Assurance Program
4.12.c	OVERSIGHT	Heads of Field Elements take timely and appropriate corrective action to address the findings identified in the appraisal report by ensuring corrective action plans are— •coordinated with the CSO and CLM, •developed to address the findings identified by the appraisal report •submitted within prescribed time frames, •approved by the appropriate official at the field element with are commendation for approval by the CSO, •provided to the CSO, or designee, for approval, and •implemented and tracked to completion and closure (through verification).	DOE O 470.2B; Paragraph 5.d (3)	Project Director	Logistics Management	Independent Oversight & Performance Assurance Program
4.12.d	OVERSIGHT	Heads of Field Elements provide, to OA, the requested documentation, points of contact, and information concerning programs under their jurisdiction; ensure necessary support, access to sites, facilities and operations, and requested work space for the appraisal team in support of OA appraisal activities; and participate in special study groups.	DOE O 470.2B; Paragraph 5.d (4)	Project Director	Logistics Management	Independent Oversight & Performance Assurance Program
4.13.a	CYBER SECURITY	Assume accountability for cyber security and accept the overall residual risk throughout their organizations. (Although the authority and responsibility for accepting residual risk may be delegated, the accountability for ensuring that cyber information and information systems are protected and risk is being appropriately managed remains with the head of the Departmental element.) These individuals are ultimately the Designated Approving Authorities (DAAs) for their respective programs/administrations.	DOE O 205.1B; Paragraph 5.c (1).	EMCBC Director	Information Resource Management	Cyber Security
4.13.b	CYBER SECURITY	Notify the appropriate Contracting officers, ensure that the CRD is incorporated into relevant Contracts, and provide program direction to implement requirements of the PCSP and CSPPs.	DOE O 205.1B; Paragraph 5.c (4).	EMCBC Director	Information Resource Management	Cyber Security
4.13.c	CYBER SECURITY	Ensure that all CIP assets are listed in CSPPs.	DOE O 205.1B; Paragraph 5.c (5)	EMCBC Director	Information Resource Management	Cyber Security
4.13.d	CYBER	Designate formally individuals who will be	DOE O	EMCBC	Information	Cyber Security

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	SECURITY	the focal points for cyber security within their Departmental elements. (Even though authority for ensuring effective cyber security may be delegated, accountability remains with the head of the Departmental element.) This Departmental element focal point for cyber security will— (a) establish, implement, document, and maintain a PCSP that implements the Program; (b) identify in Coordination with the OCIO, cyber assets that require a separate CSPP (e.g., major systems that have significant risk or that reside in multiple DOE organizations or multiple Lapses); (c) facilitate external and internal reviews, including those involving DOE independent oversight; (d) Coordinate with the OCIO in evaluating the performance of the cyber security program; (e) ensure that sufficient resources are identified, planned, and requested to implement and maintain the PCSP; (f) monitor the effectiveness of the PCSP implementation through program reviews, self-assessments, management assessments, performance metrics analyses, peer reviews, and vulnerability analyses; and (g) report PCSP implementation performance to the OCIO using PCSP and OCIO-established cyber security and performance metrics.	205.1B; Paragraph 5.c (6)	Director	Resource Management	
4.13.e	CYBER SECURITY	Access by foreign nationals to DOE cyber systems must be approved by an official designated by the DOE site manager or Lead Program Secretarial Officer (LPSO) who is accountable for the approval decision. This approval must 1) identify the specific cyber system(s) to which access is granted and the anticipated time period of the access, and 2) must be based on a documented assessment of risks and an identification of access controls. The risk assessment, cyber system access controls, and approval must be included in the security plan or in other documentation, (e.g., the site's Cyber Security Program Plan, or a visit-specific plan).	DOE O 205.1B	EMCBC Director	Information Resource Management, Contracting, Logistics Management	
4.13.f	CYBER SECURITY	DOE site managers and LPSOs must ensure access by foreign nationals to the cyber systems described in the approval is periodically audited consistent with the documented risk upon which approval is based.	DOE O 205.1B	EMCBC Director	Information Resource Management, Contracting, Logistics Management	Cyber Security
4.13.g	CYBER SECURITY	Non-resident foreign nationals from Sensitive Countries are not permitted access, from other than a DOE site or DOE contractor premise, to cyber systems containing "Unclassified controlled Nuclear Information (UCNI)" or "Naval Nuclear Propulsion Information (NNPI)." DOE site managers and LPSOs are responsible for ensuring that DOE networked systems containing UCNI or NNPI have protective measures to prevent unauthorized access.	DOE O 205.1B	EMCBC Director	Information Resource Management, Contracting, Logistics Management	Cyber Security
4.14.a	BUSINESS OPERATIONS	Take systematic and proactive measures to establish cost-effective and appropriate management controls.	DOE O 413.1B	Project Director	Financial Management	Management Control Program

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
4.14.b	BUSINESS OPERATIONS	Appoint a management control action officer to coordinate all planning, evaluating, and reporting related to the DOE Management Control Program.	DOE O 413.1B	Project Director	Financial Management	Management Control Program
4.14.c	BUSINESS OPERATIONS	Execute accountability for site-wide environmental, safety, and health and safeguard and security.	DOE O 413.3B	Project Director	Financial Management	Project & Program Management
4.15.a	EMERGENCY MANAGEMENT	Ensure cognizant Field Element personnel and contractors participate in a continuing emergency preparedness program of training, drills, and exercises.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.b	EMERGENCY MANAGEMENT	Establish and maintain an Emergency Operations Center (EOC) to respond to emergency events if not collocated with the Contractor's Command center. To maintain continuous operations, an alternate facility must be available to replace the EOC.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.c	EMERGENCY MANAGEMENT	Assign senior representatives to the Emergency Management Advisory committee.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.d	EMERGENCY MANAGEMENT	Where applicable, pre-designate a DOE/NNSA employee as—(1) the On Scene Coordinator when DOE/NNSA is the lead agency for Federal responses under the National Contingency Plan or its replacement, (2) the Senior Federal Official when DOE/NNSA is the Coordinating Agency under the Nuclear/Radiological Incident Annex of the National Response Plan (NRP) or its replacement, and/or (3) the Senior Energy Official to coordinate Departmental activities under appropriate Federal plans.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.e	EMERGENCY MANAGEMENT	Comply with the requirements of the DOE Order 153.1 which establishes requirements for the radiological emergency response assets programs.	DOE O 151.1C	Project Director	Logistics Management, Contracting, Legal Services	Emergency Management
4.15.f	EMERGENCY MANAGEMENT	Ensure that Emergency Planning Hazards Assessments (EPHAs) and Hazards Surveys for emergency planning purposes are adequately performed and documented. Ensure EPHAs and Hazards Surveys are updated every three years, and prior to significant changes to the site/facility or to hazardous material inventories. For example, significant changes are those changes which would result in an un-reviewed safety question for nuclear facilities, as defined in 10 CFR 830, or in an un-reviewed safety issue for accelerator facilities, as defined in DOE O 420.2B. Review and approve EPHAs and Hazards Surveys and forward the approved EPHAs and/or Hazards Surveys to the Program Secretarial Officer(s) and the Director, Emergency Operations.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.g	EMERGENCY MANAGEMENT	Participate in the development and implementation of mutual assistance agreements with State, Tribal, and local authorities.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.h	EMERGENCY	During an emergency, conduct appropriate	DOE O	Project	Logistics	Emergency

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	MANAGEMENT	and necessary emergency actions.	151.1C	Director	Management, Contracting	Management
4.15.i	EMERGENCY MANAGEMENT	Approve site exercise packages prior to the exercise.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.j	EMERGENCY MANAGEMENT	Effectively integrate the activities of a leased facility and Nuclear Regulatory Commission licensed facilities into the DOE/NNSA site wide emergency management program, and ensure that lease arrangements include: a description of how each of the lessee's emergency management program elements is integrated into the site wide program; and, a requirement that tenant hazardous material inventories are reported to the site emergency management organization annually or when inventories change.	DOE O 151.1C	Project Director	Logistics Management	Emergency Management
4.15.k	EMERGENCY MANAGEMENT	Approve site exercise packages prior to the exercise.	DOE O 151.1C	Project Director	Logistics Management	Emergency Management
4.15.l	EMERGENCY MANAGEMENT	Integrate applicable policies and requirements, including those promulgated by other Federal agencies (e.g., stockpiling stable iodine for possible distribution as a radiological protective prophylaxis) and interagency emergency plans into appropriate DOE/NNSA emergency plans.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.m	EMERGENCY MANAGEMENT	Effectively integrate the activities of a leased facility and Nuclear Regulatory Commission licensed facilities into the DOE/NNSA site wide emergency management program, and ensure that lease arrangements include: a description of how each of the lessee's emergency management program elements is integrated into the site wide program; and, a requirement that tenant hazardous material inventories are reported to the site emergency management organization annually or when inventories change.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
4.15.n	EMERGENCY MANAGEMENT	Integrate applicable policies and requirements, including those promulgated by other Federal agencies (e.g., stockpiling stable iodine for possible distribution as a radiological protective prophylaxis) and interagency emergency plans into appropriate DOE/NNSA emergency plans.	DOE O 151.1C	Project Director	Logistics Management	Emergency Management
4.16.a	EMERGENCY MANAGEMENT	Appoint a Continuity of Operations (COOP) coordinator to serve as the COOP Point of Contact for the field element and provide point of contact information to their DOE COOP Manager.	DOE O 150.1,	Project Director	Logistics Management	Continuity of Operations
4.16.b	EMERGENCY MANAGEMENT	Notify the DOE Headquarters Operations Center Watch Office as possible following a decision to activate the field element's COOP Plan.	DOE O 150.1,	Project Director	Logistics Management	Continuity of Operations
4.16.c	EMERGENCY MANAGEMENT	Review and approve the Field element's COOP plan annually and provide copy to their LPSO, the LPSO coordinator, and the DOE COOP Manager.	DOE O 150.1,	Project Director	Logistics Management	Continuity of Operations
4.17.a	INTEGRATED	Implement the requirements of the	DOE O	Project	Logistics	Packaging &



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	SAFETY MANAGEMENT	Packaging and Transportation Order and ensure that Contractor's under their purview fully implement and comply with the requirements of this Order.	460.1C; Paragraph 5.c (1).	Director	Management	Transportation Safety
4.17.b	INTEGRATED SAFETY MANAGEMENT	Review and approve, in writing, onsite Transportation Safety Documents and transportation and package quality assurance programs.	DOE O 460.1C; Paragraph 5.c (2)	Project Director	Logistics Management	Packaging & Transportation Safety
4.17.c	INTEGRATED SAFETY MANAGEMENT	Review and process through the responsible Secretarial Officer/Deputy Administrator, NNSA, requests for DOE exemptions, DOT exemptions and renewals, and NRC packaging certificates.	DOE O 460.1C; Paragraph 5.c (3)	Project Director	Logistics Management	Packaging & Transportation Safety
4.17.d	INTEGRATED SAFETY MANAGEMENT	Review and process Safety Analysis Reports for Packaging through the Secretarial Officer/Deputy Administrator, NNSA, responsible for the facilities or activities applying for package certification	DOE O 460.1C; Paragraph 5.c (4)	Project Director	Logistics Management	Packaging & Transportation Safety
4.17.e	INTEGRATED SAFETY MANAGEMENT	Review existing Contracts to determine whether existing requirements provide adequate safety protections. In contracts with inadequate protections, contact the Contracting officer about having the CRD inserted into the Contract.	DOE O 460.1C; Paragraph 5.c (5)	Project Director	Logistics Management, Contracting	Packaging & Transportation Safety
4.17.f	INTEGRATED SAFETY MANAGEMENT	Obtain waivers from tribal, State, and local transportation laws, rules, and regulations, as needed to meet safety requirements. Copies of all such requests and waivers shall be provided to the responsible Secretarial Officer/Deputy Administrator, NNSA.	DOE O 460.1C; Paragraph 5.c (7)	Project Director	Logistics Management, Legal Services	Packaging & Transportation System
4.18.a	BUSINESS OPERATIONS	Ensure that field organizations and contractors under their purview involved in performing or managing transportation and packaging fully implement and comply with the requirements of this Order.	DOE O 460.2A;	Project Director	Logistics Management	Transportation & Packaging Management
4.18.b	BUSINESS OPERATIONS	Obtain waivers from State, Tribal, and local transportation requirements, as needed to meet programmatic requirements, and provide copies of all such requests and waivers to the Environmental Management and the NNSA Deputy Administrator for Defense Programs for field organizations.	DOE O 460.2A;	Project Director	Logistics Management, Legal Services	Transportation & Packaging Management
4.18.c	BUSINESS OPERATIONS	Secure copies of exemptions and approvals by contractors and provides copies to the Environmental Management or for NNSA organizations to the Deputy Administrator for Defense Programs.	DOE O 460.2A;	Project Director	Logistics Management	Transportation & Packaging Management
4.18.d	BUSINESS OPERATIONS	Negotiate with carriers or authorize cost-type contractors to negotiate with carriers concerning rates, classification ratings, services, and related transportation matters when only their own field organizations will be affected, and maintain documentation of actions taken.	DOE O 460.2A;	Contracting	Logistics Management, Project Director	Transportation & Packaging Management
4.18.e	BUSINESS OPERATIONS	Advise other field organizations; the Environmental Management; the Deputy Administrator for Defense Programs; Cognizant PSOs, SOs, and LPSOs; and the NNSA Deputy Administrators of significant	DOE O 460.2A;	Project Director	Logistics Management	Transportation & Packaging Management



	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		freight rate changes and new or changing State, Tribal, or local laws, rules, or regulations (i.e., fees, bans, or petitions).				
4.18.f	BUSINESS OPERATIONS	Issue bills of lading when required and authorize contractor employees to issue bills of lading within prescribed limitations.	DOE O 460.2A;	Contracting	Logistics Management, Project Directors	Transportation & Packaging Management
4.18.g	BUSINESS OPERATIONS	Conduct contractor/subcontractor evaluations of compliance with transportation and packaging requirements at least every 3 years.	DOE O 460.2A;	Project Director	Logistics Management	Transportation & Packaging Management
4.18.h	BUSINESS OPERATIONS	Request a contracting officer to incorporate the requirements of the CRD (Attachment 2) into new or existing contracts and delete the requirements of the canceled Order in existing contracts.	DOE O 460.2A;	Project Director	Logistics Management, Contracting	Transportation & Packaging Management
4.18.i	BUSINESS OPERATIONS	Ensure that all carriers who transport highway route controlled quantities of radioactive material in less-than-truckload (LTL) or truckload (TL) quantities, any TL quantities of radioactive material, and hazardous waste in any quantity are evaluated for safety, financial status, security, and compliance with applicable regulations.	DOE O 460.2A;	Project Director	Logistics Management	Transportation & Packaging Management
4.18.j	BUSINESS OPERATIONS	Conduct site-wide transportation planning and develop reports that identify transportation needs.	DOE O 460.2A;	Project Director	Logistics Management	Transportation & Packaging Management
4.19.a	INTEGRATED SAFETY MANAGEMENT	Site-Wide Radioactive Waste Management Programs. Developing, documenting, implementing, and maintaining a Site-Wide Radioactive Waste Management Program. The Program shall use a systematic approach for planning, executing, and evaluating the site-wide management of radioactive waste in a manner that supports the complex-Wide Radioactive Waste Management Programs and ensures that the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual are met.	DOE M 435.1-1; Paragraph 2.F.(1)	Project Director	Contracting, Logistics Management	Radioactive Waste Manual
4.19.b	INTEGRATED SAFETY MANAGEMENT	Radioactive Waste Management Basis. Ensuring a radioactive waste management basis is developed and maintained for each DOE radioactive waste management facility, operation, and activity; and ensuring review and approval of the basis before operations begin. The Radioactive Waste Management Basis shall: (a) Reference or define the conditions under which the facility may operate based on the radioactive waste management documentation; (b) Include the applicable elements identified in the specific waste-type chapters of this Manual; and (c) Be developed using the graded approach process.	DOE M 435.1-1; Paragraph 2.F.(2).	Project Director	Logistics Management	Radioactive Waste Manual
4.19.c	INTEGRATED SAFETY MANAGEMENT	Approval of Exemptions for Use of Non-DOE Facilities. DOE radioactive waste shall be treated, stored, and in the case of low-level waste, disposed of at the site where the waste is generated, if practical; or at another DOE facility. If DOE capabilities are not practical or cost	DOE M 435.1-1; Paragraph 2.F.(4).	Project Director	Logistics Management, Legal Services	Radioactive Waste Manual

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		effective, exemptions may be approved to allow use of non-DOE facilities for the storage, treatment, or disposal of DOE radioactive waste based on the following requirements: (a) Such non-DOE facilities shall: 1. Comply with applicable Federal, State, and local requirements; 2. Have the necessary permit(s), license(s), and approval(s) for the specific waste(s); and 3. Be determined by the Field Element Manager to be acceptable based on a review conducted annually by DOE. (b) Exemptions for the use of non-DOE facilities shall be documented to be cost effective and in the best interest of DOE, including consideration of alternatives for on-site disposal, an alternative DOE site, and available non-DOE facilities; consideration of life-cycle cost and potential liability; and protection of public health and the environment. (c) DOE waste shall be sufficiently characterized and certified to meet the facility's waste acceptance criteria. (d) Appropriate National Environmental Policy Act (NEPA) review must be completed. For actions taken under the comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), it is DOE's policy to incorporate NEPA values into the CERCLA documentation.				
4.19.d	INTEGRATED SAFETY MANAGEMENT	Closure Plans. Ensuring development, review, approval, and implementation of closure plans for radioactive waste management facilities in accordance with the applicable requirements in the waste-type chapters of this Manual.	DOE M 435.1-1; Paragraph 2. F. (8).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual
4.19.e	INTEGRATED SAFETY MANAGEMENT	Defense-In-Depth. Ensuring defense-in-depth principles are incorporated where potential uncertainties or vulnerabilities warrant their use when reviewing and approving radioactive waste management activities and documents. These principles advocate the use of multiple levels of engineered and administrative controls to provide protection to the public, workers, and the environment.	DOE M 435.1-1; Paragraph 2. F. (9).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual
4.19.f	INTEGRATED SAFETY MANAGEMENT	As Low As Reasonably Achievable (ALARA). Ensuring ALARA principles for radiation protection are incorporated when reviewing and approving radioactive waste management activities.	DOE M 435.1-1; Paragraph 2. F (12).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual
4.19.g	INTEGRATED SAFETY MANAGEMENT	Storage. Ensuring all radioactive waste is stored in a manner that protects the public, workers, and the environment in accordance with a radioactive waste management basis, and that the integrity of waste storage is maintained for the expected time of storage and does not compromise meeting the disposal performance objectives for protection of the public and environment when the waste is disposed.	DOE M 435.1-1; Paragraph 2.F.(13).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
4.19.h	INTEGRATED SAFETY MANAGEMENT	Treatment. Ensuring all radioactive waste requiring treatment is treated in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis.	DOE M 435.1-1; Paragraph 2.F.(14).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual
4.19.i	INTEGRATED SAFETY MANAGEMENT	Disposal. Ensuring radioactive waste is disposed in a manner that protects the public, workers, and the environment and in accordance with a radioactive waste management basis. Reviewing specific transuranic or low-level waste documentation including the performance assessment and composite analysis, or appropriate CERCLA documentation, prior to forwarding them to Headquarters for approval, and obtaining and ensuring the facility is operated in accordance with the disposal authorization statement. Conducting performance assessment and composite analysis maintenance.	DOE M 435.1-1; Paragraph 2.F.(15).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual
4.19.j	INTEGRATED SAFETY MANAGEMENT	Monitoring. Ensuring monitoring is conducted for all radioactive waste management facilities as required. Ensuring that disposal facilities are monitored, as appropriate, for compliance with conditions of the Disposal authorization statement.	DOE M 435.1-1; Paragraph 2.F.(16).	Project Director	Contracting, Logistics Management, Legal Services	Radioactive Waste Manual
4.19.k	INTEGRATED SAFETY MANAGEMENT	Material and Waste Declassification for Waste Management. Ensuring, to the extent practical, radioactive material and waste generated under a program that is classified for national security reasons is declassified or rendered suitable for unclassified radioactive waste management.	DOE M 435.1-1; Paragraph 2.F.(17).	Project Director	Logistics Management	Radioactive Waste Manual
4.19.l	INTEGRATED SAFETY MANAGEMENT	Waste Incidental to Reprocessing. Ensuring that waste incidental to reprocessing determinations are made by either the "citation" or "evaluation" process described in Chapter II of this Manual. Ensuring consultation and coordination with the Environmental Management for waste determined to be incidental to reprocessing through the "evaluation" process.	DOE M 435.1-1; Paragraph 2. F. (18).	Project Director	Logistics Management	Radioactive Waste Manual
4.19.m	INTEGRATED SAFETY MANAGEMENT	Waste With No Identified Path to Disposal. Ensuring a process is developed and implemented for identifying the generation of radioactive waste with no identified path to disposal, and reviewing and approving conditions under which radioactive waste with no identified path to disposal may be generated. Headquarters shall be notified of the decisions to generate a waste with no identified path to disposal.	DOE M 435.1-1; Paragraph 2.F.(19).	Project Director	Logistics Management	Radioactive Waste Manual
4.19.n	INTEGRATED SAFETY MANAGEMENT	Corrective Actions. Ensuring a process exists for proposing, reviewing, approving, and implementing corrective actions when necessary to ensure that the requirements of DOE O 435.1, Radioactive Waste Management, and this Manual are met, and to address conditions that are not protective of the public, workers, or the environment. The process shall allow workers, through	DOE M 435.1-1; Paragraph 2.F.(20).	Project Director	Logistics Management	Radioactive Waste Manual

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		the appropriate level of management, to stop or curtail work when they discover conditions that pose an imminent danger or other serious hazard to workers or the public, or are not protective of the environment.				
4.20.a	INTEGRATED SAFETY MANAGEMENT	Execute the Federal Facility Compliance Act (FFCA) Site Treatment Plan and Consent Order on behalf of DOE. Approve FFCA execution and decisional documents for submission to the State and EPA. Conduct an annual review.	FFCA	Project Director	Logistics Management, Legal Services	FFCA
4.21.a	INTEGRATED SAFETY MANAGEMENT	4.8.10 Execute the Federal Facility Agreement (FFA).	EM-1 Delegation Memo	Project Director	Logistics Management	Federal Facility Agreement
4.21.b	INTEGRATED SAFETY MANAGEMENT	4.8.11 Approve FFA decision documents for submission to EPA/State to include 1) Statement of Basis/Proposed Plans; 2) Explanation of Significant Differences; and 3) Records of Decision (RODs)	EM-1 Delegation	Project Director	Logistics Management, Legal Services	Federal Facility Agreement
4.21.c	INTEGRATED SAFETY MANAGEMENT	4.8.12 Approve FFA execution documents for submission to the EPA/State including: 1) Preliminary Assessment/Site Investigation; 2) RCRA facility Assessment Report; 3) Engineering Evaluation/Cost Analysis; 4) Remedial Design/Remedial Action; 5) Corrective Measures Implementation Plans; 6) Remedial Investigation/Feasibility Study; 7) RCRA Facility Investigation/Corrective Measures Study Work Plans; 8) RCRA Facility Investigation/Corrective Measures Study Reports; 9) Risk Assessments; and 10) Initial Screening of Alternatives.	EM-1 Delegation Memo	Project Director	Logistics Management, Legal Services	Federal Facility Agreement
4.22.a	INTEGRATED SAFETY MANAGEMENT	4.8.01 Approve new cleanup agreements or significant modifications of existing agreements, unless otherwise delegated.	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated 6/1/1997.	Project Director	Logistics Management	Environmental Compliance & Clean-up
4.22.b	INTEGRATED SAFETY MANAGEMENT	4.8.02 Determine whether a new or modified environmental agreement or milestone(s) require Headquarters' Reviews (i.e., exceeds review thresholds).	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated June 1, 1997	Project Director	Logistics Management	Environmental Compliance & Cleanup

Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
4.22.c	INTEGRATED SAFETY MANAGEMENT	4.8.03 Develop and submit negotiation strategy, if determined necessary by HQ.	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated June 1, 1997.	Project Director	Logistics Management	Environmental Compliance & Clean-up
4.22.d	INTEGRATED SAFETY MANAGEMENT	4.8.04 Review and approve negotiation strategy in consultation with other offices (e.g., OLS and CFO).	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated June 1, 1997.	Project Director	Logistics Management, Legal Services	Environmental Compliance & Clean-up
4.22.e	INTEGRATED SAFETY MANAGEMENT	4.8.05 Submit tentative commitment document and supporting analysis to appropriate OD and EM-10.	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated June 1, 1997.	Project Director	Logistics Management	Environmental Compliance & Clean-up
4.22.f	INTEGRATED SAFETY MANAGEMENT	4.8.06 Review and approve tentative commitment documents in consultation with other offices.	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated June 1, 1997.	Project Director	Logistics Management, Legal Services	Environmental Compliance & Clean-up
4.22.g	INTEGRATED SAFETY MANAGEMENT	4.8.07 Determine who at Headquarters approves and concurs in the final commitment document.	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance	Project Director	Logistics Management	Environmental Compliance & Clean-up

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
			and Cleanup Agreements for the EM dated June 1, 1997.			
4.22.h	INTEGRATED SAFETY MANAGEMENT	4.8.08 Oversee implementation of guidance process; develop corporate statistics on agreements; and maintain corporate knowledge on agreements.	EM-1 Delegation Memo Subject and approval Guidance for Environmental Compliance and Cleanup Agreements for the EM dated June 1, 1997.	Project Director	Logistics Management	Environmental Compliance & Clean-up
4.22.i	INTEGRATED SAFETY MANAGEMENT	4.8.14 Approve RCRA closure/post closure plans, and corrective action permits/orders, and RCRA operating permits.	EM-1 Delegation Memo	Project Director	Logistics Management, Legal Services	Environmental Compliance & Cleanup
4.23.a	BUSINESS OPERATIONS	4.8.13 Sign administratively or judicially enforceable documents that affect the EM Baseline (e.g., Consent Decrees, Administrative or Consent Orders).	EM-1 Delegation Memo	Project Director	Logistics Management, Legal Services	Enforceable Documents
<b>5. Perform Work within Approved Controls</b>						
5.01.a	INTEGRATED SAFETY MANAGEMENT	Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing Contracts requiring compliance with old Orders or by modifying the Contract to incorporate the CRD (Attachment 2) requirements.	DOE O 440.1B	Project Director	Contracting, Logistics Management	Worker Protection Program
5.01.b	INTEGRATED SAFETY MANAGEMENT	Ensure that initiators of procurement requests specify therein whether requirements in the CRD (Attachment 2) are to be applied to the resulting award or sub-awards.	DOE O 440.1B	Project Director	Financial Management	Worker Protection Program
5.01.c	INTEGRATED SAFETY MANAGEMENT	Ensures, through the Contracting Officer, that Contractors implement effective worker protection programs.	DOE O 440.1B	Project Director	Logistics Management, Technical Services	Worker Protection
5.01.d	INTEGRATED SAFETY MANAGEMENT	Review Contractor worker protection program budgets and provide recommendations to the funding official on the appropriateness of the budget request.	DOE O 440.1B	Project Director	Logistics Management, Financial Management	Worker Protection
5.01.e	INTEGRATED SAFETY MANAGEMENT	Provides contractors with technical direction and criteria for the development of Contractor goals, objectives, and performance measures.	DOE O 440.1B	Project Director	Logistics Management	Worker Protection
5.01.f	INTEGRATED SAFETY MANAGEMENT	Hold DOE line personnel accountable for providing technical direction to Contractors that is consistent with the requirements contained in this Order.	DOE O 440.1B	Project Director	Logistics Management	Worker Protection
5.01.g	INTEGRATED SAFETY MANAGEMENT	Evaluate the need for and direct the development of formal written agreements between organizations on their sites. These agreements shall outline the respective roles, responsibilities, and authorities of each organization as they relate to compliance with DOE worker	DOE O 440.1B	Project Director	Logistics Management	Worker Protection

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		protection requirements and the resolution of cross-cutting worker protection-related issues.				
5.01.h	INTEGRATED SAFETY MANAGEMENT	5.2.04 Ensure that program-specific worker protection goals and objectives are developed and resources are provided.	DOE O 440.1B, EM-1 Delegation Memo.	Project Director	Logistics Management	Worker Protection
5.01.i	INTEGRATED SAFETY MANAGEMENT	Review and forward to DOE Headquarters all exemptions, exceptions, and variances to mandatory worker protection requirements contained in this Order. Conduct an annual review of the status of all exemptions to the requirements contained in this Order to ensure that circumstances requiring the need for relief have not changed and that instituted controls are still implemented and appropriate.	DOE O 440.1B	Project Director	Logistics Management	Worker Protection
5.01.j	INTEGRATED SAFETY MANAGEMENT	5.2.05 Ensure that worker protection policies and requirements are effectively implemented.	DOE O 440.1B, EM-1 Delegation Memo.	Project Director	Logistics Management	Worker Protection
5.01.k	INTEGRATED SAFETY MANAGEMENT	5.2.06 Develop or participate in recognition programs that encourage the improvement of worker protection programs.	DOE O 440.1B, EM-1 Delegation Memo.	Project Director	Logistics Management	Worker Protection
5.02.a	QUALITY ASSURANCE	Heads of DOE Elements/Deputy Administrator for Defense Programs, NNSA must ensure that initiators of procurement requests must identify in procurement requests if the requirements in the CRD (Attachment 1) are to be applied to the award or sub-awards resulting from the procurement request.	DOE O 425.1D; Paragraph 4.a.	Project Director	Contracting Legal Services,	Start-up & Restart
5.02.b	QUALITY ASSURANCE	4. a. (3) (a) Startup Authority for new hazard category 3 nuclear facility.	DOE O 425.1D, EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Start-up & Restart
5.02.c	QUALITY ASSURANCE	4. a. (3) (c) and (d) : Startup authority for the restart of a hazard category 2 nuclear facility following extended shutdown or extensive modification	DOE O 425.1D, EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Start-up & Restart
5.02.d	QUALITY ASSURANCE	4. a. (4) (b) : Approve Startup Notification Reports if you are the startup authority; otherwise; make recommendation regarding approval	DOE O 425.1D, EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Start-up & Restart
5.02.e	QUALITY ASSURANCE	5.1.04 For extended shutdowns of hazard category 1 nuclear facilities, the Cognizant Secretarial Officer must approve restart. For extended shutdowns of hazard category 2 nuclear facilities, the Cognizant Secretarial Officer (or designee) must approve restart.	DOE O 425.1D, EM-1 Delegation Memo.	Project Director	Logistics Management	Start-up & Restart
5.03.a	INTEGRATED	Employees who exercise supervisory	29 CFR 1960	CBC Director,	All	FEOSH



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	SAFETY MANAGEMENT	functions shall, to the extent of their authority, furnish employees employment and a place of employment which are free from hazards recognize hazards that are causing or are likely to cause death or serious physical harm.		Project Director	supervisors, Logistics Management	
5.03.b	INTEGRATED SAFETY MANAGEMENT	Employees who exercise supervisory function shall also comply with the occupational safety and health standards applicable to their agency and with all rules, regulations and orders issued by the head of the agency with respect to the agency occupational safety and health programs.	29 CFR 1960	CBC Director, Project Director	All supervisors, Logistics Management	FEOSH
5.04.a	INTEGRATED SAFETY MANAGEMENT	a) Preparation and submission of initial CBDPP to DOE. (1) The responsible employer at a DOE facility must ensure that a CBDPP is prepared for the facility and submitted to the appropriate Head of DOE Field Element before beginning beryllium activities, but no later than April 6, 2000 of this part. (2) If the CBDPP has separate sections addressing the activities of multiple contractors at the facility, the Head of DOE Field Element will designate a single DOE contractor to review and approve the sections prepared by other contractors, so that a single consolidated CBDPP for the facility is submitted to the Head of DOE Field Element for review and approval.	10 CFR 850; Subpart 150.10	Project Director	Legal Services, Contracting Logistics Management	Beryllium
5.04.b	INTEGRATED SAFETY MANAGEMENT	Update. The responsible employer must submit an update of the CBDPP to the appropriate Head of DOE Field Element for review and approval when-ever a significant change or significant addition to the CBDPP is made or a change in contractors occurs. The Head of DOE Field Element must review the CBDPP at least annually and, if necessary, require the responsible employer to update the CBDPP.	10 CFR 850; Subpart 150.10	Project Director	Legal Services, Contracting, Logistics Management	Beryllium
5.04.c	INTEGRATED SAFETY MANAGEMENT	DOE review and approval. The appropriate Head of DOE Field Element must review and approve the CBDPP. (1) The initial CBDPP and any up-dates are deemed approved 90 days after submission if they are not specifically approved or rejected by DOE earlier. (2) The responsible employer must furnish a copy of the approved CBDPP, upon request, to the DOE Office of Health, Safety and Security or designee, DOE program offices, and affected workers or their designated representatives.	10 CFR 850; Subpart 150.10	Project Director	Legal Services, Contracting, Logistics Management	Beryllium
5.05.a	INTEGRATED SAFETY MANAGEMENT	Ensures that the contractor conducts DOE activities in accordance with a documented RPP, as approved by DOE.	10 CFR 835; Subpart B. 101. (a)	Project Director	Legal Services, Contracting	Occupational Radiation Protection
5.05.b	INTEGRATED SAFETY MANAGEMENT	Ensures that the contractor makes modifications to a RPP, as required or directed.	10 CFR 835; Subpart B. 101. (b)	Project Director	Legal Services, Contracting	Occupational Radiation Protection
5.06.a	INTEGRATED SAFETY MANAGEMENT	Implement provisions of this Order (Radiation Protection of the Public and the Environment) for their respective activities;	DOE O 5400.5 Chg 2	Project Director	Logistics Management	Radiation Protection of the Public and the Environment
5.06.b	INTEGRATED SAFETY	(a) Implement provisions of this Order for their respective activities;	DOE O 5400.5 Chg	Project Director	Logistics Management	Radiation Protection of

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	MANAGEMENT	(b) Maintain appropriate capabilities at each operating site for monitoring and assessing routine and unplanned releases of radioactive materials, with respect to the characteristics of radioactive material released and the release modes, consistent with the types of operations conducted; (c) Process specific requests for exceptions to this Order, pursuant to paragraph II.1a(4); and (d) Temporarily suspend the requirements of this Order when doing so is in their judgment necessary to minimize damage to life or property or to protect public health or safety. Whenever this provision is invoked, such suspension and the reason therefore are to be reported to HHS-1 at the earliest practicable time.	2			the Public and the Environment
5.06.c	INTEGRATED SAFETY MANAGEMENT	Maintain appropriate capabilities at each operating site for monitoring and assessing routine and unplanned releases of radioactive materials, with respect to the characteristics of radioactive material released and the release modes, consistent with the types of operations conducted;	DOE O 5400.5 Chg 2	Project Director	Logistics Management	Radiation Protection of the Public and the Environment
5.06.d	INTEGRATED SAFETY MANAGEMENT	Process specific requests for exceptions to this Order, pursuant to paragraph II. a (4); and	DOE O 5400.5 Chg 2	Project Director	Logistics Management	Radiation Protection of the Public and the Environment
5.07.a	QUALITY ASSURANCE	Reviews and approves or rejects nuclear facility QAPs, along with modifications and revisions submitted by Support Sites' contractors responsible for support sites and facilities. Support Sites' contractors responsible for Support sites and facilities.	10 CFR 830; Subpart A; Paragraphs 830.121. (b). (1), (2), and (3).	Project Director	Legal Services, Contracting	Nuclear Safety Management
5.07.b	QUALITY ASSURANCE	Review and approve contractor Quality Assurance Programs (QAPs) for all EM programs and projects. This includes requirements under DOE O 414.1C, 5.b.(5) and (6). Review and approve annual updates.	10 CFR 830, Subpart A 830.121 (b) (1), (2) and (3), EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Nuclear Safety Management
5.08	QUALITY ASSURANCE	c. Heads of Field Elements shall: (1) Ensure that adequate field element and contractor plans, procedures, and programs are in place and assess the effectiveness of their implementation at sites under their jurisdiction, consistent with the provisions of this Order; (2) Ensure that a DOE Facility Representative is assigned responsibility for a major facility or group of lesser facilities, and oversee the day-to-day conduct of operations at these facilities in accordance with the requirements of this Order and the direction received from the Program Manager; and (3) Approve documentation prepared by the field element and contractor to	DOE O 422.1	Project Director	Technical Services, Logistics Management	Conduct of Operations

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		demonstrate conformance to the guidelines in Attachment 1.				
5.09.a	BUSINESS OPERATIONS	a. ensuring that sufficient resources are budgeted in a timely manner to accomplish the maintenance program's objective of providing DOE with the highest confidence in the reliable performance of mission-critical, safety SSCs through proactive maintenance practices	DOE O 433.1B;	Project Director	Financial Management, Logistics Management	Maintenance Management
5.09.b	BUSINESS OPERATIONS	b. ensuring that a cost-effective and efficient maintenance program is developed and implemented for all DOE nuclear facilities consistent with DOE's mission, safety and health, reliability, quality, and environmental protection objectives;	DOE O 433.1B	Project Director	Logistics Management, Technical Services	Maintenance Management
5.09.c	BUSINESS OPERATIONS	c. ensuring that the responsibility, authority, and accountability for maintenance are clearly defined, appropriately assigned, and executed;	DOE O 433.1B;	Project Director	Logistics Management, Technical Services	Maintenance Management
5.09.d	BUSINESS OPERATIONS	d. ensuring that DOE operational awareness review and analysis capability exists for evaluation of maintenance program performance and effectiveness;	DOE O 433.1B;	Project Director	Logistics Management, Technical Services	Maintenance Management
5.09.e	BUSINESS OPERATIONS	e. ensuring that where maintenance requirements or accepted maintenance standards cannot be met, such instances are appropriately documented and acknowledged by DOE field elements including the granting of exemptions by DOE, as appropriate, when requested; and	DOE O 433.1B;	Project Director	Logistics Management, Technical Services	Maintenance Management Program
5.09.f	BUSINESS OPERATIONS	f. ensuring that the requirements and standards for maintenance of nuclear facilities are incorporated into Contractors and sub-Contractors, including support services Contractors, as appropriate.	DOE O 433.1B	Project Director	Contracting	Maintenance Management
5.10.a	QUALITY ASSURANCE	Prepare and implement a CAP to address all findings in the CAMP assessment report, and enter, track, and report the status of the CAP in the corrective Action Tracking System (CATS).	DOE O 414.1D	Project Director	Logistics Management	Quality Assurance
5.10.b	QUALITY ASSURANCE	Complete the CAP and conduct follow-up review on the effectiveness of the corrective actions in resolving and preventing recurrence of all findings. Approve the effectiveness review report and follow-up report recommendations.	DOE O 414.1D	Project Director	Logistics Management	Quality Assurance
5.10.c	QUALITY ASSURANCE	Review and, where delegated authority to do so, approve new and revised QAPs for contractors within their purview. [NOTE: The scope and rigor of review must be graded based on the status of the contractor's prior quality performance (e.g., past regulatory/contract noncompliance, performance metrics, or any third-party QAP certification).	DOE O 414.1D, EM-1 Delegation Memo	Project Director	Logistics Management	Quality Assurance
5.10.d	QUALITY ASSURANCE	5.b.(4) – Review and approve or reject new/revised Field Element QAPs within 90 calendar days of receipt.	DOE O 414.1D, EM-3 Delegation of Authority	Project Director	Logistics Management	Quality Assurance

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
			Memo dated 4/4/07.			
5.10.e	QUALITY ASSURANCE	5.b.(5) and (6) – Review and approve or reject new/revised contractor QPAs within 90 calendar days of receipt.	DOE O 414.1D, EM–3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Quality Assurance
5.10.f	QUALITY ASSURANCE	Use the un-reviewed safety question process to address assessment results that question the validity of the software previously used to support the safety analysis and design process. (See 10 CFR 830.203, Un-reviewed Safety Question Process, and DOE G 424.1-1, Implementation Guide for Use in Addressing Un-reviewed Safety Question Requirements, dated 10-24-01.)	DOE O 414.1D; Paragraph 4. d. (3)	Project Director	the Information Resource Management, Contracting, Logistics Management	Quality Assurance
5.10.g	QUALITY ASSURANCE	Revise the field element FRA document to include Federal functions, responsibilities, and authorities for safety software.	DOE O 414.1D; Paragraph 4. d. (4)	Project Director	Information Resource Management, Contracting, Logistic Management	Quality Assurance
5.10.h	QUALITY ASSURANCE	5.b.(2) – Ensure and oversee the implementation and upkeep of the EM Headquarters Quality Assurance Program Plan.	DOE O 414.1D, EM–3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Quality Assurance
5.10.i	QUALITY ASSURANCE	Periodically report management assessment results to their organizations' SOs describing the effectiveness of field element and contractor QA implementation.	DOE O 414.1D	Project Director	Logistics Management	Quality Assurance
5.10.j	QUALITY ASSURANCE	Submit QAPs to the appropriate SOs for review, resolution of differences of opinion, and approval.	DOE O 414.1D	Project Director	Logistics Management	Quality Assurance
5.10.k	QUALITY ASSURANCE	Perform independent assessments of contractor organizations to evaluate the adequacy and QAP implementation effectiveness. [NOTE: The frequency and scope of assessments must be graded based on the status of prior quality performance and any third-party QAP certification. Other suitable methods may be used in combination with independent assessments.]	DOE O 414.1D	Project Director	Logistics Management	Quality Assurance
5.10.l	QUALITY ASSURANCE	Ensure that DOE-approved contractor QA programs are applied to safety software, in accordance with applicable laws, regulations, DOE directives, and adopted industry standards.	DOE O 414.1D; Paragraph 4. (5)	Project Director	Information Resource Management, Contracting, Logistics Management	Quality Assurance
5.10.m	QUALITY ASSURANCE	Update the Technical Qualifications Program position list to identify the Federal positions whose duties and responsibilities require them to meet the Functional Area Qualification Standard (FAQS) for safety software. (a) Qualify personnel who have responsibility for safety software to the requirements of the FAQS for safety software. (b) Update qualifications of other personnel if their FAQSs are revised to	DOE O 414.1D; Paragraph 4. d (2).	Project Director	Information Resource Management, Contracting, Logistics Management, Contracting,	Quality Assurance

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		include safety software competencies.				
5.11.a	BUSINESS OPERATIONS	Develop project performance measures, and monitor and evaluate project performance throughout the project's life cycle.	DOE O 413.3B	Project Director	Financial Management	Program & Project Management
5.12.a	INTEGRATED SAFETY MANAGEMENT	Implement the following policy. It is the policy of the Department of Energy to conduct its radiological operations in a manner that ensures the health and safety of all its employees, contractors, and the general public. In achieving this objective, the Department shall ensure that radiation exposures to its workers and the public and releases of radioactivity to the environment are maintained below regulatory limits and deliberate efforts are taken to further reduce exposures and releases as low as reasonably achievable. The Department is fully committed to implementing a radiological control program of the highest quality that consistently reflects this policy.	DOE P 450.4A	Project Director	Logistics Management, Technical Services	Radiological Health and Safety
5.13.a	EMERGENCY MANAGEMENT	Ensure readiness teams and emergency management personnel coordinate or integrate their activities to facilitate an orderly transition of responsibilities for the accident scene.	DOE O 225.1B; paragraph 5. Item c. (6)	Project Director	Logistics Management	Accident Investigation
5.14.a	INTEGRATED SAFETY MANAGEMENT	All DOE elements as specified in 3.a are responsible for implementing the requirements of this Order. See DOE M 435.1-1, Radioactive Waste Management Manual, for specific responsibilities.	DOE O 435.1 Chg 1	Project Director	Logistics Management, Technical Services	Radioactive Waste Management
5.15.a	OVERSIGHT	5.b.(8) – Authority to initially approve and there after annually review and approve contractor integrated management systems descriptions updates.	DOE O 226.1B, EM–3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Oversight Policy
5.15.b	OVERSIGHT	5.b.(10)- Authority to initially approve and thereafter annually review and approve contractor assurance system program description updates.	DOE O 226.1B, EM–3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Oversight Policy
5.16.a	CYBER SECURITY	Ensure that system Certification and Accreditation (C&A) activities are performed	DOE O 205.1B; Paragraph 5.c (2)	Project Director	Information Resource Management	Cyber Security
5.16.b	CYBER SECURITY	Ensure and document processes for reviewing and approving all CSPPs.	DOE O 205.1B; Paragraph 5.c (3)	Project Director	Information Resource Management	Cyber Security
5.18.a	BUSINESS OPERATIONS	Bring to the attention of the LPSO, CSO, or NNSA, and support the CFO and Field CFOs, in addressing reported potential or actual instances of improper financial management.	DOE O 520.1A;	Project Director	Financial Management, Legal Services	CFO
5.18.b	BUSINESS OPERATIONS	Obtain advice, consultation, or concurrence on personnel actions related to Field CFO positions as set out in paragraph 5b(10), above.	DOE O 520.1A;	Project Director	Financial Management, Human Resources,	CFO

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
					Legal Services	
5.18.c	BUSINESS OPERATIONS	Assist the LPSO, CSO, NNSA, the Field CFO, and the CFO in resolving financial management issues.	DOE O 520.1A;	Project Director	Financial Management	CFO
<b>6. Collect Feedback and Pursue Improvement</b>						
6.01.a	INTEGRATED SAFETY MANAGEMENT	Support development of programs to share packaging and transportation safety successes and problems.	DOE O 460.1C; Paragraph 5.c (6)	Project Director	Logistics Management	Packaging & Transportation Safety
6.02.a	BUSINESS OPERATIONS	Issue Price-Anderson Amendments Act indemnity agreement certificates to carriers, upon their request, or notify the requesting carriers and/or the referring organization that a shipment is not covered by an indemnity agreement. NOTE: When the NRC and the Consignor or Consignee have entered into a licensee indemnity agreement or when it is not known whether an indemnity agreement exists, refer carriers' certification requests to the Director of the NRC Regional Office listed in Appendix D of 10 CFR 20.	DOE O 460.2A;	Project Director	Logistics Management, Legal Services	Transportation & Packaging Management
6.03.a	QUALITY ASSURANCE	<p>Heads of Field Elements and Contracting Activities.</p> <p>(1) Ensure that field element processes incorporate lessons learned into training, maintenance and work planning, work processes, operations, and design and construction.</p> <p>(2) Designate operating experience program coordinators to fulfill the responsibilities assigned by this Order.</p> <p>(3) Ensure that quarterly analyses of reportable and non-reportable events submitted by contractors and program field elements in accordance with Section 5.8 of DOE M 231.1-2, Occurrence Reporting and Processing of Operations Information, dated 8-19-03, are reviewed to identify operating experience trends and lessons learned.</p> <p>(4) Ensure that operating experience reports are implemented by the field element and contractor organizations through line management oversight.</p> <p>(5) As a part of self-assessments conducted to evaluate organizational performance in Integrated Safety Management (ISM), includes an assessment of the effectiveness of the organization's operating experience program.</p> <p>(6) Review contractor implementation of local operating experience programs.</p> <p>(7) Screen contractor-developed operating experience information to ensure operational awareness.</p> <p>(8) Monitor contractor performance and sharing of lessons learned.</p> <p>(9) Share contractor performance information with the PSOs/NNSA Deputy Administrators.</p> <p>(10) Recommend locally developed lessons</p>	DOE O 210.2A	Project Director	Logistics Management, Contracting	Corporate Operating Experience. Lessons - Learned



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		<p>learned for inclusion in the DOE Corporate Lessons Learned Database (URL:<a href="http://www.eh.doe.gov/DOELL/index.asp">http://www.eh.doe.gov/DOELL/index.asp</a>).</p> <p>(11) Forward lessons learned applicable to specific missions or programs to the appropriate PSO/NNSA Deputy Administrator for consideration.</p> <p>(12) Ensure that senior contractor management is held accountable for recurrence of significant adverse events.</p> <p>(13) Ensure that operating experiences and lessons learned from departing contractors are shared with new contractors following awarding of major contracts.</p> <p>(14) Share operating experience lessons learned with the DOE complex through the DOE Corporate Lessons Learned Database (URL:<a href="http://www.eh.doe.gov/DOELL/index.asp">http://www.eh.doe.gov/DOELL/index.asp</a>).</p> <p>(15) Provide to the appropriate PSO or NNSA Deputy Administrator feedback concerning reviews conducted and actions taken for SOR and SA operating experience documents.</p>				
6.04.a	OVERSIGHT	Designate and direct Facility Representatives and Designees to fulfill the responsibilities required by this Manual.	DOE M 231.1-2	Project Director	Technical Services, Logistics Management	Occurrence Reporting and Processing of Operations Information
6.04.b	OVERSIGHT	Ensure the requirements in the CRD for DOE M 231.1-2 are applied to applicable contracts within 3 months after approval of this Order.	DOE M 231.1-2	Project Director	Contracting, Logistics Management	Occurrence Reporting and Processing of Operations Information
6.04.c	OVERSIGHT	Ensure initiators of procurement requests identify in procurement requests whether the requirements in the CRD for DOE M 231.1-2 are to be applied to the award or sub awards resulting from the procurement request and any special instructions for the application of the CRD.	DOE M 231.1-2	Project Director	Contracting, Logistics Management	Occurrence Reporting and Processing of Operations Information
6.04.d	OVERSIGHT	Assess capability and performance of the facility personnel in carrying out the requirements of this Manual, in accordance with established agreements with the responsible Secretarial Officers or Deputy Administrators (NNSA).	DOE M 231.1-2	Project Director	Logistics Management	Occurrence Reporting and Processing of Operations Information
6.04.f	OVERSIGHT	Provide technical support as necessary to Facility Representatives and line management staff in responding to any reportable occurrence, in accordance with established agreements with the responsible Secretarial Officers or Deputy Administrators (NNSA).	DOE M 231.1-2	Project Director	Logistics Management	Occurrence Reporting and Processing of Operations Information
6.04.g	OVERSIGHT	Ensure that agreements are established with responsible Secretarial Officers or Deputy Administrators (NNSA) on the working relationship between the Secretarial Officer or Deputy Administrator and the Field Element for the purpose of carrying out the requirements of this Manual.	DOE M 231.1-2	Project Director	Logistics Management	Occurrence Reporting and Processing of Operations Information
6.04.h	QUALITY	6.2.03 Approve occurrence reports,	DOE M	Project	Logistics	Occurrence



	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	ASSURANCE	including proposed corrective actions or delegate this authority.	231.1-2, EM-1 Delegation Memo.	Director	Management	Reporting
6.04.i	OVERSIGHT	6.2.14 Review activities relating to reportable occurrence, including reporting and development of programs and procedures.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.j	OVERSIGHT	6.2.15 Ensure that a system for prompt notification and categorization of reportable occurrences has been established for their DOE programs and for facilities under their cognizance.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.k	OVERSIGHT	6.2.16 Ensure that the Headquarters Emergency Operations Center is informed of how the Program Manager or Designees can be reached at all times.	EM-1/ DOE M 231.1-2 DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.l	OVERSIGHT	6.2.17 Ensure that lessons learned and generic or programmatic implications are identified and elevated to the Secretarial Officer for appropriate action.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.m	OVERSIGHT	6.2.18 Ensure that actions are taken to minimize or prevent recurrence.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.n	OVERSIGHT	6.2.19 Review and assess reportable occurrence information from facilities under their cognizance to assess significance, root cause, generic implications, and the need for corrective action, and to ensure that DOE and Contractor staff involved in these operations perform the related functions.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.o	OVERSIGHT	6.2.20 Ensure that Occurrence Reports and operations information from other organizations are disseminated to appropriate DOE and contractor activities within their cognizance, are reviewed for generic implications, and are used to improve operations.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.pt	OVERSIGHT	6.2.21 Ensure that Occurrence Reports are prepared and transmitted in accordance with DOE security requirements.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.q	OVERSIGHT	6.2.22 Notify the CSO of all Significance Category 1 Occurrences.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.r	OVERSIGHT	6.2.23 Interact with the Facility Representative and HQ oversight organizations as necessary, and informs and advises their respective management of their findings.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management, Technical Services	Occurrence Reporting
6.04.s	OVERSIGHT	6.2.24 Elevate any unresolved issues regarding actions or determinations on reportable occurrence to the Secretarial Officer and, if necessary, the Secretary for resolution and direction.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting
6.04.t	OVERSIGHT	6.2.25 The Program Manager shall review, approve, and add any comments to the Final Report within 14 calendar days after receipt.	DOE M 231.1-2, EM-1.	Project Director	Logistics Management	Occurrence Reporting

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
6.05.a	OVERSIGHT	Designation as Program Manager, which includes approval authority for Operational Emergency and Significance Category 1 Final Occurrence Reports. Authority for approval of Significance Category R and 2 Final Occurrence Reports may be assigned to a qualified Facility Representative consistent with requirements under DOE M 231.1-2, 5.6.c.	DOE O 231.1A, 5.c.(3).(a), and DOE M 231.1.1-2, 4.2.a., EM-3 Delegation of Authority Memo dated 4/4/07.	Project Director	Logistics Management	Occurrence Reporting
6.05.b	OVERSIGHT	Heads of Headquarters Elements and Heads of Field Elements.1. Notify the appropriate contracting officer(s) of affected contracts and ensure the CRD is incorporated into relevant contracts and provide program direction to implement the reporting requirements in accordance with this Manual.	DOE M 231.1-1A, Chg 2	Project Director	Contracting, Logistics Management	ES&H Reporting
6.05.c	OVERSIGHT	Heads of Headquarters Elements and Heads of Field Elements.1 Notify the appropriate contracting officer(s) of affected contracts and ensure the CRD is incorporated into relevant contracts, and provide program direction to implement the reporting requirements in accordance with this Manual.	DOE M 231.1-1A Chg 2	Project Director	Contracting, Logistics Management	ES&H Reporting
6.05.d	OVERSIGHT	Fatality and Catastrophe Notification. Report accidents that involve fatalities or multiple hospitalizations of DOE employees to the Office of Health, Safety and Security (See requirements in 29 CFR1960.70.)	DOE O 231.1A, Chg 1	Project Director	Logistics Management	ES&H Reporting
6.05.e	OVERSIGHT	Environmental Protection Program Reporting. In accordance with DOE M 231.1-1, Chapter I, ensure that the reporting requirements of DOE O 450.1, "Environmental Protection Program," dated 01-15-03; Executive Order 13148, "Greening the Government Through Leadership in Environmental Management"; and Executive Order 13101, "Greening the Government Through Waste Prevention, Recycling and Federal Acquisition" are achieved.	DOE O 231.1A, Chg 1	Project Director	Logistics Management, Contracting	ES&H Reporting
6.05.f	OVERSIGHT	Occupational Radiation Exposure Reports to Individuals. Prepare and provide reports of occupational radiation exposures to individuals in accordance with 10 CFR 835.801, "Reports to Individuals."	DOE O 231.1A, Chg 1	Project Director	Logistics Management	ES&H Reporting
6.05.g	OVERSIGHT	Annual Individual Radiation Exposure Records. Report new and revised radiation exposure records required by 10 CFR 835.702 (a) and (b), "Individual Monitoring Records," to the REMS repository. (See DOE M 231.1-1, Chapter III).	DOE O 231.1A, Chg 1	Project Director	Logistics Management	ES&H Reporting
6.05.h	OVERSIGHT	Excess Injury and Illness. Notify the Office of Health, Safety and Security for suspected excess illnesses/injuries that may require Epidemiologic investigations to determine whether the injuries/illnesses are work related. (See DOE M 231.1-1A, Chapter II.)	DOE O 231.1A, Chg 1	Project Director	Logistics Management	ES&H Reporting
6.05.i	OVERSIGHT	Epidemiological Studies by External	DOE O	Project	Logistics	ES&H

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		Organizations. Submit requested information to designated Department of Health and Human Services(DHHS) officials and contractors and DHHS grantees conducting epidemiological studies. (See DOE M 231.1-1, Chapter II.)	231.1A, Chg 1	Director	Management	Reporting
6.05.j	OVERSIGHT	Annual Fire Protection Summary. Submit an annual report of the previous year's fire damage to the DOE fire protection authority having jurisdiction on April 30 each year. (See DOE M 231.1-1, Chapter II.)	DOE O 231.1A, Chg 1	Project Director	Logistics Management, Contracting	ES&H Reporting
6.05.k	OVERSIGHT	Work hours. Prepare total quarterly work hours reports on a calendar year basis in accordance with DOE M 231.1-1.	DOE O 231.1A, Chg 1	Project Director	Logistics Management, Contracting	ES&H Reporting
6.05.l	OVERSIGHT	Occurrence Reports. Implement an occurrence reporting program to ensure appropriate and timely identification, categorization, response, notification, investigation, reporting, and analysis of abnormal conditions and events in accordance with DOE M 231.1-2 and DOE O 151.1A, Comprehensive Emergency Management System, dated 11-01-00.	DOE O 231.1A, Chg 1	Project Director	Logistics Management, Contracting	ES&H Reporting
6.05.m	OVERSIGHT	Occupational Injury and Illness Reports. In accordance with DOE M 231.1-1A, Environment, Safety and Health Reporting Manual, dated 03-19-04, implement a record keeping and reporting program to ensure the use of common definitions, consistent recording procedures, and timely reporting practices for DOE employee and all contractor and subcontractor occupational fatalities, injuries, and illnesses.	DOE O 231.1A, Chg 1	Project Director	Logistics Management, Contracting	ES&H Reporting
6.06.a	EMERGENCY MANAGEMENT	Determine whether adequate protection can most effectively be achieved by continuing to operate under the terms of existing Contracts requiring compliance with old Orders or by modifying the Contract to incorporate the requirements of revised Orders. Field elements are responsible for determining that implementation of new rule or Order requirements will provide adequate protection prior to requesting Contract modifications that delete old Order requirements from contracts.	DOE O 225.1B; paragraph 5. Item c. (1).	Project Director	Logistics Management, Contracting, Legal Services	Accident Investigations
6.06.b	EMERGENCY MANAGEMENT	After incorporating this Order into Contracts, ensure its implementation and identify a single point of Contact to act as liaison with the Deputy Assistant Secretary for Oversight on matters pertaining to the DOE Accident Investigation Program.	DOE O 225.1B; paragraph 5. Item c. (2)	Project Director	Logistics Management	Accident Investigations
6.06.c	EMERGENCY MANAGEMENT	Categorize the type of accident investigation to be conducted in accordance with Attachment 2. The categorization of all Type A and Type B accident investigations shall be reported in a timely manner to the Deputy Assistant Secretary for Oversight.	DOE O 225.1B; paragraph 5. Item c. (3)	Project Director	Logistics Management	Accident Investigations
6.06.d	EMERGENCY MANAGEMENT	Serve as Appointing Officials for Type B or delegated Type A Accident Investigation	DOE O 225.1B;	Project Director	Logistics Management	Accident Investigations

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		Boards.	paragraph 5. Item c. (4)			
6.06.e	EMERGENCY MANAGEMENT	Provide cooperation with and assistance to DOE Accident Investigation Boards.	DOE O 225.1B; paragraph 5. Item c. (7)	Project Director	Logistics Management	Accident Investigations
6.06.f	EMERGENCY MANAGEMENT	Ensure that a sufficient number of DOE Accident Board Chairpersons and DOE Accident Investigators are available to implement this Order for both Type A and Type B accident investigations and, upon request, provide them to other DOE sites.	DOE O 225.1A; paragraph 5. Item c. (8)	Project Director	Logistics Management	Accident Investigations
6.06.g	EMERGENCY MANAGEMENT	Review draft Type A and Type B investigation reports for factual accuracy with in the time frame allowed for the investigation.	DOE O 225.1B; paragraph 5. Item c. (9)	Project Director	Logistics Management	Accident Investigations
6.06.h	EMERGENCY MANAGEMENT	Develop lessons learned for Type B accident investigations when serving as the Appointing Official.	DOE O 225.1B; paragraph 5. Item c. (10)	Project Director	Logistics Management	Accident Investigations
6.06.i	EMERGENCY MANAGEMENT	Initiate actions to address applicable lessons learned from investigations conducted at other DOE sites.	DOE O 225.1B; paragraph 5. Item c. (11).	Project Director	Logistics Management	Accident Investigations
6.06.j	EMERGENCY MANAGEMENT	Ensure that Corrective action plans are : (a) Developed to address judgments of need identified by the Board and submitted to the responsible Secretarial Officer (program office) and to the Deputy Assistant Secretary for Oversight, nominally within 30 calendar days of report acceptance by the Appointing Official; (b) Submitted to the responsible Secretarial Officer for approval; (c) Submitted to the Deputy Assistant Secretary for Oversight for review; (d) Implemented and tracked to completion.	DOE O 225.1B; paragraph 5. Item c. (12)	Project Director	Logistics Management	Accident Investigations
6.06.k	EMERGENCY MANAGEMENT	Provide biennial (in January and July of each year) status reports of accident investigation Corrective actions to the Deputy Assistant Secretary for Oversight until all Corrective actions are completed.	DOE O 225.1B; paragraph 5. Item c. (13)	Project Director	Logistics Management	Accident Investigations
6.07.a	INTEGRATED SAFETY MANAGEMENT	The Department is committed to conducting work efficiently and in a manner that ensures protection of workers, the public and the environment. It is Department policy that safety management systems described herein shall be used to systematically integrate safety into management and work practices at all levels so that missions are accomplished while protecting the public, the worker, and the environment. Direct involvement of workers during the development and implementation of safety management systems is essential for their success. The DOE safety management system establishes a hierarchy of components (see figure 1) to facilitate the orderly development and implementation of safety management throughout the DOE complex. The safety management system consists of six components: 1) the objective, 2) guiding principles, 3) core functions, 4) mechanisms, 5) responsibilities, and 6)	DOE P 450.4A	Project Director	Logistics Management	Safety Management System

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		implementation. The objective, guiding principles, and Core functions of safety management identified below shall be used consistently in implementing safety management throughout the DOE complex. The mechanisms, responsibilities, and implementation components are established for all work and will vary based on the nature and hazard of the work being performed.				
6.08.a	OVERSIGHT	Oversight of high consequence activities, such as high hazard nuclear operations, require additional rigor, such as instituting Central Technical Authorities (CTA) for core nuclear safety functions. Oversight operations with the potential for high consequence events such as nuclear facilities and operations require additional oversight that must include Headquarters awareness and assessment activities. For high-consequence nuclear operations, the CTAs will maintain awareness of the content of applicable DOE line oversight programs, plans, and processes, and co-contractor assurance systems by monitoring, evaluation and trend analyses, and by participation in oversight activities. The CTAs will also maintain awareness of the state of implementation of these line management programs, plans, and processes, and contractor assurance systems by monitoring associated assessment reports. The CTA support staff will also conduct and participate in various DOE Headquarters line oversight review activities as defined in the associated Headquarters oversight programs. Based on these activities the CTA will communicate identified issues and trends to line management, provide advice concerning technical solutions or options, and be able to follow up to ensure proper closure or implementation.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.b	OVERSIGHT	DOE line management must set expectations and communicate them to contractors. This will be implemented through formal contract mechanisms and direct communication between DOE and contractor managers.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.c	OVERSIGHT	Particular attention must be devoted to ensuring that requirements and expectations are established in contractual documents, including performance indicators, measures, objectives, and criteria.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.d	OVERSIGHT	Performance expectations must be established through the development and approval of required program documents for - (a) quality assurance, (b) integrated safety management (including the environmental management system), (c) integrated safeguards and security management, (d) cyber security, (e) emergency management, and (f) business operations.	DOE O 226.1B	Project Director	Logistics Management, Contracting, Information Resource Management, Financial Management, Legal Services	Implementation of DOE Oversight Policy

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
6.08.e	OVERSIGHT	DOE line management must verify that plans submitted by contractors clearly delineate actions to be taken and describe programs that meet DOE requirements and expectations.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.f	OVERSIGHT	Indicators and performance measures must be established and periodically reviewed by DOE line management and communicated to contractors to provide tools for monitoring performance in meeting expectations.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.g	OVERSIGHT	In addition to collecting and analyzing long-term indicators of interest complex-wide, contractor-specific performance objectives and criteria and appropriate incentives must be identified and specified in contract documents. Objectives and criteria must be challenging and focused on improving performance in known areas of weakness.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.h	OVERSIGHT	If the contractor assurance system is not adequate, DOE line management will provide direction to the Contractor through such measures as contractual provisions and required program documents (e.g., quality assurance program).	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.i	OVERSIGHT	To promote efficiency, DOE field organizations will perform most onsite operational awareness and assessment activities on behalf of the responsible DOE line management organization. However, DOE Headquarters, Field Managers, and support or Service Center staff may conduct "for cause" reviews, reviews pursuant to other requirements in this Order, discretionary assessments, or provide support to field elements during assessments.	DOE O 226.1B	Project Director	Logistics Management, Contracting, Technical Services	Implementation of DOE Oversight Policy
6.08.j	OVERSIGHT	DOE line management must have effective processes for communicating line oversight results and other issues up the DOE line management chain, using a graded approach based on the hazards and risks. The processes must provide sufficient technical basis to allow senior DOE managers to make informed decisions and must include provisions for communicating and documenting dissenting opinions. Processes for resolving disputes about oversight findings and other significant issues must also be implemented and include provisions for independent technical reviews of significant issues.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.k	OVERSIGHT	DOE Headquarters line management personnel must regularly review the results of DOE field organization oversight and other information to maintain awareness of site conditions and trends and to determine the effectiveness of field line management oversight processes. DOE Headquarters line management must establish appropriate oversight activities to review the adequacy of the scope and implementation of field office self-assessment activities,	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		field office oversight activities, and field office assurance systems.				
6.08.l	OVERSIGHT	The oversight program will provide a balance between reviews of documentation (e.g., plans, procedures, and records) and adequacy of implementation through performance tests and observation of actual work activities at the facilities.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.m	OVERSIGHT	Oversight program activities will provide for a similar balance between evaluations of systems (such as the DOE integrated safety management system and integrated safeguards and security management system), (e.g., specific work activities).	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.n	OVERSIGHT	DOE line management oversight will coordinate assessment activities with site assurance system activities to promote efficient use of resources and may conduct some assessments jointly with contractors. However, DOE line management must maintain an adequate baseline oversight program that includes sufficient standalone assessments of contractor management systems and site programs.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.o	OVERSIGHT	DOE line management (primarily through field organizations) will implement a baseline line management oversight program that focuses resources on selected assessments, operational awareness activities, performance measure monitoring and improvement, and assessment of assurance systems. For sites that need improvement in site programs, management systems, or assurance systems (e.g., insufficient rigor or comprehensiveness in existing systems), DOE line management will conduct more frequent assessments focusing on areas needing improvement.	DOE O 226.1B	Project Director	Logistics Management, Contracting, Financial Management	Implementation of DOE Oversight Policy
6.08.p	OVERSIGHT	DOE Headquarters and field element line management will regularly assess site assurance systems to determine the appropriate level of overlap and redundancy of DOE Headquarters and field element line management oversight. Accordingly, DOE line management organizations may increase their frequency and/or depth based on performance deficiencies or events or may decrease the frequency and/or depth of line management oversight assessments to reflect sustained effective site performance. Although external organization reviews and the effectiveness of assurance systems are considered in determining DOE line management oversight priorities and the scope and frequency of oversight activities, DOE line management must always maintain an adequate minimum baseline oversight program that enables DOE line management to understand the hazards and risks of activities.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy



## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
6.08.q	OVERSIGHT	The effectiveness of the contractor assurance system will be determined based on objective criteria. DOE line management will establish criteria for determining the effectiveness of site programs, management systems, and contractor assurance systems that include consideration of previous assessment results (internal and external), effectiveness of completed corrective actions, demonstrated success in self-identifying and correcting deficiencies, the existence of rigorous and well documented programs, and evidence of sustained management support for site programs, management systems, and assurance systems.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.r	OVERSIGHT	DOE Headquarters and field line management will establish documented program plans that describe their oversight activities and will develop an annual schedule of planned assessments and focus areas for operational awareness. Modifications to the schedule are expected in response to changing circumstances, but modifications are approved by DOE line management in accordance with defined processes.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.s	OVERSIGHT	DOE oversight programs and assurance systems will evaluate performance against requirements and performance objectives to include laws, regulations, national standards, DOE directives, DOE-approved plans and program documents (e.g., security plans, authorization basis documents, and quality assurance program), site-specific procedures/manuals, criteria review and approach documents, other contractually mandated requirements, and contractual performance objectives. Requirements and performance objectives are established and interpreted through approved processes so that they are relevant to the site and mission.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.t	OVERSIGHT	Incorporate the CRD (Attachment 2) into all DOE Contracts pursuant to 48 CFR 970.5204-2, "Laws, regulations, and DOE directives," by notifying contracting officers of affected contracts.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.u	OVERSIGHT	Maintain appropriate qualification standards for personnel with oversight responsibilities and clear, unambiguous lines of authority and responsibility for oversight.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.v	OVERSIGHT	Establish and implement line management oversight programs and processes consistent with the requirements of this Order, to include Attachment 3, or comparably effective criteria established by the responsible program office.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.w	OVERSIGHT	Provide unfettered access to information and facilities to conduct an effective oversight program, consistent with applicable laws and requirements.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.x	OVERSIGHT	Establish and implement effective DOE line management oversight processes consistent with the provisions of	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		Attachments 2 and 3 for Government-owned and Government-operated facilities and DOE sites under the field organizations' Cognizance.				Policy
6.08.y	OVERSIGHT	Review, concur, and forward contractor assurance system program descriptions for Headquarters line management approval. If approval authority is delegated by the Headquarters organization, approve Contractor assurance system program descriptions. If existing processes (e.g., quality assurance program or integrated safety management description documents) provide adequate descriptions of the contractor assurance programs, or if such processes can be modified to provide adequate descriptions, submittals under these processes can be used to meet this requirement.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.z1	OVERSIGHT	Revise field element policies and implementing procedures and require that site-specific policies and implementing procedures conform to DOE P 226.1 during the established review and revision cycle but no later than one year after the effective date of this Order; and ensure they are consistent with this Order, to include Attachments 2 and 3, or comparably effective criteria established by the responsible program office.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.z2	OVERSIGHT	Use the results of DOE line and independent oversight and contractor assurance systems to make informed decisions about corrective actions and the acceptability of risks and to improve the effectiveness and efficiency of programs and site operations.	DOE O 226.1B	Project Director	Logistics Management	Implementation of DOE Oversight Policy
6.08.z3	OVERSIGHT	DOE Headquarters and field element line management maintain sufficient knowledge of site and contractor activities to make informed decisions about hazards, risks and resource allocation, provide direction to contractors, and evaluate contractor performance. The effectiveness of contractor assurance systems, the hazards at the site/activity, and the degree of risk are factors in determining the scope and frequency of DOE line management assessments and operational awareness activities.	DOE O 226.1B	Project Director	Logistics Management, Contracting	Implementation of DOE Oversight Policy
6.08.z4	OVERSIGHT	DOE line management oversight must: (1) Ensure contractor compliance with requirements. DOE line management must periodically examine contractor programs and their implementation at the work-activity level to assess that DOE requirements and external regulatory requirements are met effectively. Deficiencies must be brought to the attention of contractor management and addressed in a timely manner. (2) Ensure the adequacy of contractor assurance systems. DOE line management must	DOE O 226.1B	Project Director	Logistics Management, Contracting, Legal Services	Implementation of DOE Oversight Policy

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		review contractor assurance systems periodically to gauge that contractors are assessing site activities adequately, self-identifying deficiencies, and taking timely and effective corrective actions. (3) Evaluate contractor performance. DOE line management must periodically evaluate contractor performance in accordance with the provisions of their contracts. (4) Ensure compliance with requirements applicable to DOE line management. DOE line management organizations must establish and implement oversight processes for monitoring their internal operations and completing required activities, such as reviewing and approving safety analysis reports and security plans, performing emergency management functions, adjudicating security clearances, implementing computer security programs at DOE office buildings, operating classified and sensitive information identification and protection programs, and operating employee concerns programs and other such functions.				
6.08.z5	OVERSIGHT	1. A robust rigorous and credible contractor ES&H self assessment program linked to the DOE Safety Management System is in place which includes elements that address: a. Performance measures and performance indicators; b. Line and independent evaluations; c. Compliance with applicable requirements (Rules regulatory standards contract terms); d. Data collection analysis and corrective actions; e. continuous feedback and performance improvement. The results and conclusions of the contractor self assessments are available to DOE.	DOE O 226.1B	Project Director	Contracting, Logistics Management, Technical Services	Implementation of DOE Oversight Policy
6.08.z6	OVERSIGHT	2. As an effective contractor self assessment program is established the DOE field element oversight function transitions to: a. Operational awareness of contractor work activities typically through DOE local line managers and staff such as facility representatives subject matter experts and other specialists.; b. Review of performance against formally established ES&H performance measures other ES&H performance indicators and using contractor self assessments.; c. Review and assessment in support of required readiness assessments operational readiness reviews Safety Management System documentation and onsite verification reviews and authorization basis document reviews.; d. A periodic value added appraisal of sufficient frequency and duration to confirm the contractor's safe performance of work and the effectiveness of the self assessment program. A cost effective appraisal meeting the intent of this policy might need to be no more than 2 weeks in duration and no more than once a year at each site. The scope of periodic appraisals including	DOE O 226.1B	Project Director	Contracting, Logistics Management, Technical Services	Implementation of DOE Oversight Policy

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		additional areas of review is determined by field elements with input from Headquarters and the contractor. DOE uses the analysis of contractor self assessment results performance measures and operational awareness as input to scoping the annual appraisal. Appraisals by non line organizations such as EH or external organizations such as the Environmental Protection Agency and state agencies are fully considered and not ordinarily duplicated. The appraisals are conducted primarily by DOE employees. Issues identified but unresolved during a periodic appraisal are referred to local DOE personnel (facility representatives etc.) for further examination; e. For cause reviews as necessary.				
6.08.z7	OVERSIGHT	DOE line management will be responsible for implementing this Policy and for ensuring that risk- based end states are addressed as part of relevant integrated safety management and environmental management systems.	DOE O 226.1B	Project Director	Contracting, Logistics Management, Technical Services	Implementation of DOE Oversight Policy
6.09..a	OVERSIGHT	(1) Using the appropriate contract vehicle, ensure contractors (management and operating contractors, weapons laboratory contractors, integrating contractors, environmental restoration and management contractors, etc.) acknowledge and implement their interface responsibilities as delineated in this Manual (see Attachment 1, Contractor Requirements Document).	DOE M 140.1-1B	Project Director	Contracting, Logistics Management	DNFSB
6.09.b	OVERSIGHT	(2) Designate a single point of contact with the authority to represent his/her organization and work with the Departmental Representative and his/her staff in Board-related matters.	DOE M 140.1-1B	Project Director	Logistics Management	DNFSB
6.09.c	OVERSIGHT	(3) Resolve conflicts between Departmental personnel and Board staff. If difficulty persists, notify the Departmental Representative.	DOE M 140.1-1B	Project Director	Logistics Management	DNFSB
6.10.a	OVERSIGHT	This policy statement sets forth the general framework through which the U.S. Department of Energy (DOE) will seek to ensure compliance with its enforceable nuclear safety regulations and orders (hereafter collectively referred to as DOE Nuclear Safety Requirements) and, in particular, exercise the civil penalty authority provided to DOE in the Price Anderson Amendments Act of 1988, 42 U.S.C. 2282a (PAAA). The policy set forth herein is applicable to violations of DOE Nuclear Safety Requirements by DOE contractors who are indemnified under the Price Anderson Act, 42 U.S.C. 2210(d), and their subcontractors and suppliers (hereafter collectively referred to as DOE contractors). This policy statement is not a regulation and is intended only to provide general guidance to those persons subject to DOE's Nuclear Safety Requirements as	10 CFR 820	Project Director	Legal Services, Contracting, Logistics Management	Price Anderson

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		specified in the PAAA. It is not intended to establish a "cookbook" approach to the initiation and resolution of situations involving noncompliance with DOE Nuclear Safety Requirements. Rather, DOE intends to consider the particular facts of each noncompliance situation in determining whether enforcement sanctions are appropriate and, if so, the appropriate magnitude of those sanctions. DOE may well deviate from this policy statement when appropriate in the circumstances of particular cases. This policy statement is not applicable to activities and facilities covered under E.O. 12344, 42 U.S.C. 7158 note, pertaining to Naval nuclear propulsion.				
6.10.b	OVERSIGHT	The PAAA provides DOE with the authority to compromise, modify, or remit civil penalties with or without conditions. In implementing the PAAA, DOE will carefully consider the facts of each case of noncompliance and will exercise appropriate discretion in taking any enforcement action. Part of the function of a sound enforcement program is to assure a proper and continuing level of safety vigilance. The reasonable exercise of enforcement authority will be facilitated by the appropriate application of safety requirements to nuclear facilities and by promoting and coordinating the proper contractor and DOE safety compliance attitude toward those requirements.	10 CFR 820	Project Director	Legal Services, Contracting, Logistics Management	Price Anderson
6.10.c	OVERSIGHT	In the development of the DOE enforcement policy, DOE recognizes that the reasonable exercise of its enforcement authority can help to reduce the likelihood of serious incidents. This can be accomplished by providing greater emphasis on a culture of safety in existing DOE operations, and strong incentives for contractors to identify and correct noncompliance conditions and processes in order to protect human health and the environment. DOE wants to facilitate, encourage, and support contractor initiatives for the prompt identification and correction of problems. These initiatives and activities will be duly considered in exercising enforcement discretion.	10 CFR 820	Project Director	Legal Services, Contracting, Logistics Management	Enforcement Policy
6.10.d	OVERSIGHT	The DOE goal in the compliance arena is to enhance and protect the radiological health and safety of the public and worker at DOE facilities by fostering a culture among both the DOE line organizations and the contractors that activity seeks to attain and sustain compliance with DOE Nuclear Safety Requirements. The enforcement program and policy have been developed with the express purpose of achieving safety inquisitiveness and voluntary compliance. DOE will establish effective administrative processes and positive incentives to the contractors for the open	10 CFR 820 Appendix A to Subpart B	Project Director	Contracting, Legal Services	Enforcement Policy

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		and prompt identification and reporting of non-compliances, and the initiation of comprehensive corrective actions to resolve both the noncompliance conditions and the program or process deficiencies that led to noncompliance.				
6.11.a	INTEGRATED SAFETY MANAGEMENT	Direct the ECP and provide adequate resources and training for effective implementation.	DOE O 442.1A	Project Director	Civil Rights and Diversity	Employee Concerns Program
6.11.b	INTEGRATED SAFETY MANAGEMENT	Ensure implementation of ECPs required by Contract for Contractors under their jurisdiction.	DOE O 442.1A	Project Director	Civil Rights and Diversity, Contracting	Employee Concerns Program
6.11.c	INTEGRATED SAFETY MANAGEMENT	Use management assessment results to verify the adequacy and implementation of the ECP and improve performance.	DOE O 442.1A	Project Director	Civil Rights and Diversity	Employee Concerns Program
6.11.d	INTEGRATED SAFETY MANAGEMENT	Designate the management position or positions responsible for developing and implementing the Employee Concerns Program (ECP).	DOE O 442.1A	Project Director	Civil Rights and Diversity	Employee Concerns Program
6.12.e	INTEGRATED SAFETY MANAGEMENT	Conduct comprehensive self assessments and assessments of contractor fire protection programs and criticality safety programs (CSPs). <sup>2</sup>	DOE O 420.1B	Project Director	Logistics Management	Facility Safety
6.13.a	QUALITY ASSURANCE	DOE will maintain a public list on the internet that provides the status of the safety basis for each hazard category 1, 2, or 3 DOE nuclear facility and, to the extent practicable, provides information on how to obtain a copy of the safety basis and related documents for a facility.	10 CFR 830 Appendix A to Subpart B	Project Director	Logistics Management, Information Resource management	Safety Basis
6.13.b	QUALITY ASSURANCE	DOE will impose civil penalties for violations of the safety basis requirements (including hazard controls only if they are related to nuclear safety.	10 CFR 830 Appendix A to Subpart B	Project Director	Logistics Management, Legal Services	Safety Basis
6.13.c	QUALITY ASSURANCE	Enforcement of the safety basis requirements will be performance oriented. That is, DOE will focus its enforcement efforts on whether a contractor operates a nuclear facility consistent with the safety basis for the Subpart B to Part 830 – Enforcement efforts on whether the contractor operates a nuclear facility and, in particular, whether works is performed in accordance with the safety basis.	10 CFR 830, Appendix A to Subpart B to P 830 - General Statement of Safety Policy, Paragraph (E-1).	Project Director	Logistics Management, Legal Services	Safety Basis
6.14.a	INTEGRATED SAFETY MANAGEMENT	(c) Updates. (1) Contractors must submit an update of the worker safety and health program to the appropriate Head of DOE Field Element, for review and approval whenever a significant change or addition to the program is made, or a change in contractors occurs.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health
6.14.b	INTEGRATED SAFETY MANAGEMENT	(2) Contractors must submit annually to DOE either an updated worker safety and health program for approval or a letter stating that no changes are necessary in the currently approved worker safety and health program.	10 CFR 851.10	Project Director	Contracting, Logistics Management, Technical Services	Worker Safety & Health
6.14.c	INTEGRATED	(3) Contractors must incorporate in the	10 CFR	Project	Contracting,	Worker Safety

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	SAFETY MANAGEMENT	worker safety and health program any changes, conditions, or workplace safety and health standards directed by DOE consistent with the requirements of this part and DEAR 970.5204-2, Laws, Regulations and DOE Directives (December, 2000) and associated contract clauses.	851.10	Director	Logistics Management, Technical Services	& Health
6.15.a	INTEGRATED SAFETY MANAGEMENT	Ensures that unannounced worker protection inspections of Contractor workplaces are conducted at least annually.	DOE O 440.1B	Project Director	Logistics Management	Worker Protection
6.15.b	INTEGRATED SAFETY MANAGEMENT	Ensure immediate and effective remedial actions are taken for imminent danger situations discovered during worker protection inspections to ensure employees are removed from the hazard or the hazard is eliminated; conduct an inspection as soon as possible after an imminent danger situation has been corrected to ensure that appropriate actions have been taken to preclude recurrence.	DOE O 440.1B	Project Director	Logistics Management	Worker Protection
6.16.c	INTEGRATED SAFETY MANAGEMENT	Conduct environmental monitoring, as appropriate, to support the site's ISMS, to detect, characterize, and respond to releases from DOE activities; assess impacts; estimate dispersal patterns in the environment; characterize the pathways of exposure to members of the public; characterize the exposures and doses to individuals, to the population; and to evaluate the potential impacts to the biota in the vicinity of the DOE activity.	DOE O 436.1	Project Director	Logistics Management, Technical Services	Environmental Protection Program
6.16.d	INTEGRATED SAFETY MANAGEMENT	Ensure Contractor ES&H self-assessment programs are established within the framework of DOE O 226.1 and continue to be effective.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
6.16.e	INTEGRATED SAFETY MANAGEMENT	Conduct operational assessments, such as pollution prevention opportunity assessments, of site operations to identify opportunities for source reduction including material segregation and substitution, recycle/reuse, or other P2 projects. Based on the results of these assessments, implement cost-effective P2 projects, using life-cycle assessment concepts and practices in determining ROI.	DOE O 436.1	Project Director	Logistics Management, Contracting, Financial Management, Cost Estimating	Environmental Protection Program
6.16.f	INTEGRATED SAFETY MANAGEMENT	Monitor progress toward meeting the requirements of paragraph 4b(3) of this Order, and make such information available annually to the Environment, Safety and Health (ES&H).	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
6.16.g	INTEGRATED SAFETY MANAGEMENT	Ensure, through the annual ISM review process [established pursuant to DEAR 970.5223-1 (e)] that Contractor ES&H performance objectives, performance measures, and commitments include appropriate environmental elements based on the environmental risks, impacts of activities at the site and established Departmental P2 and Sustainable Environmental Stewardship Goals found in Attachment 3.	DOE O 436.1	Project Director	Logistics Management, Contracting	Environmental Protection Program
6.17.a	INTEGRATED	Oversight. Ensuring oversight of	DOE M	Project	Contracting,	Radioactive



	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
	SAFETY MANAGEMENT	radioactive waste management facilities, operations, and activities is conducted. Oversight shall ensure radioactive waste management program activities are conducted in accordance with a radioactive waste management basis and meet the requirements of DOE O435.1, Radioactive Waste Management, and this Manual.	435.1-1 Chg1; Paragraph 2.F.(10).	Director	Logistics Management	Waste Management
6.17.b	INTEGRATED SAFETY MANAGEMENT	Signature Authority for all EM and RW Quality Assurance and audit related documents as identified in the joint DOE EM/RW Oversight Process procedure.	DOE EM/RW Oversight Process Procedure	Project Director	Logistics Management	DOE EM/RW Oversight Process Procedure
6.18.a	INTEGRATED SAFETY MANAGEMENT	Submit an annual NEPA planning summary to the Office of Health Safety and Security by January 31 of each year, and make it available to the public.	DOE O 451.1B Chg1	Project Director	Logistics Management	NEPA
6.19.a	QUALITY ASSURANCE	Develop and implement approved QAPs governing the work under their purview, including software development/use, in accordance with requirements defined in paragraph 4 of this Order, S/CI prevention requirements (Attachment 3), CAMP requirements (Attachment 4), and Safety Software Quality requirements (Attachment 5). Identify the senior management position assigned this responsibility.	DOE O 414.1D;	Project Director	Logistics Management, Information Resource Management	Quality Assurance
6.19.b	QUALITY ASSURANCE	Conduct assessments according to the established schedule for safety software using approved CRADs, and report the results to the cognizant PSOs.	DOE O 414.1D; Paragraph 4. d. (3)	Project Director	Information Resource Management, Logistics Management	Quality Assurance
6.20.a	EMERGENCY MANAGEMENT	Conduct assessments of facility emergency management programs at least once every three years and review contractor self-assessment programs annually to ensure compliance with DOE directives and policy; provide the results/conclusions to the Program Secretarial Officer(s) and the Director, Emergency Operations.	DOE O 151.1C	Project Director	Logistics Management	Emergency Management
6.20.b	EMERGENCY MANAGEMENT	Implement corrective actions lessons learned from actual emergency responses and based on findings from evaluations, assessments, and appraisals.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
6.20.c	EMERGENCY MANAGEMENT	Ensure that emergency plans and procedures are prepared, reviewed annually, and updated, as necessary, for all facilities under their purview and are integrated within the overall Cognizant Field Element emergency preparedness program.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
6.20.d	EMERGENCY MANAGEMENT	Notify Contracting officers of affected Contracts to incorporate the CRD of this Order into those Contracts.	DOE O 151.1C	Project Director	Logistics Management, Contracting	Emergency Management
6.21.a	BUSINESS OPERATIONS	<ul style="list-style-type: none"> <li>❖ Are responsible for project management activities for one or more discrete projects under their cognizance.</li> <li>❖ Are accountable for planning, implementing, and completing a project using a systems engineering approach.</li> <li>❖ Develop and implement the</li> </ul>	DOE O 413.3B	EMCBC Director	Financial Management, Logistics Management	Project Management Manual

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		<p>Acquisition Strategy and the Project Execution Plan.</p> <ul style="list-style-type: none"> <li>❖ Define project objectives and technical, schedule, and cost scopes.</li> <li>❖ Ensure the design, construction, environmental, safety, health, and quality efforts performed by various contractors are in accordance with the contract, public law, regulations, and Executive Orders.</li> <li>❖ Ensure timely, reliable, and accurate integration of contractor performance data into the project's scheduling, accounting, and performance measurement systems.</li> <li>❖ Evaluate and verify reported progress; make projections of progress and identify trends.</li> <li>❖ Serve as the single point of contact between Federal and contractor staff for all matters relating to the project and its performance.</li> <li>❖ Serve as Representative, as appointed.</li> <li>❖ Develop, staff, and issue the Integrated Project Team charter when not accomplished by the program manager.</li> <li>❖ Lead the Integrated Project Team.</li> <li>❖ As delegated by site/field organization manager or program manager, approve changes in accordance with the approved change control process.</li> </ul>				
6.22.a	CYBER SECURITY	<p>Ensure the appointment of individuals to be the focal points for cyber security in each of a DOE element's subsidiary organizations. Each of those appointed individuals will—</p> <ul style="list-style-type: none"> <li>(a) establish, implement, document, and maintain a CSPP that implements the PCSP; (b) ensure the CSPP describes the process and timeline for integrating and implementing PCSP cyber security requirements throughout the organization; (c) ensure that the CSPP includes or references an implementation plan or set of procedures; (d) ensure that cyber assets owned by other entities but under the stewardship of the organization are addressed in the organization's CSPP; (e) Coordinate with the DOE element in monitoring the cyber security program; (f) ensure that sufficient resources are identified, planned, requested, allocated, and applied to implement and maintain the CSPP; and (g) monitor the effectiveness of the CSPP implementation through program reviews, self-assessments, management assessments, DOE element performance metrics, peer reviews, and vulnerability analyses.</li> </ul>	DOE O 205.1B; Paragraph 5.c (7)	EMCBC Director	Information Resource Management	Cyber Security Management
6.23.a	QUALITY CONTROL	<ul style="list-style-type: none"> <li>(a) Cooperation with NARA in developing and applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for</li> </ul>	36 CFR 1220.32 Program content.	Project Director	Logistics Management	Records Management

## Attachment A (cont'd)

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		permanent preservation, and facilitate the segregation and disposal of temporary records.				
6.23.b	QUALITY CONTROL	Adequate records management controls over the creation of Federal agency records shall be instituted to ensure that agency functions are adequately and properly documented.	36 CFR 1220.34 Creation of Records	Project Director	Logistics Management	Records Management
6.23.c	QUALITY CONTROL	(a) Agencies must institute adequate records management controls over the maintenance and use of records wherever they are located to ensure that all records, regardless of format or medium, are organized, classified, and described to promote their accessibility, and make them available for use by all appropriate agency staff for their authorized retention period. Agencies must also maintain permanent records in a format that will permit transfer to the National Archives of the United States.	36 CFR 1220.36 Maintenance and use of records.	Project Director	Logistics Management	Records Management
6.23.d	QUALITY CONTROL	(b) Agencies must ensure that they maintain adequate information about their records moved to an off-site records storage facility (see 36 CFR 1228.154). Agencies must also create and maintain records that document the destruction of temporary records and the transfer of permanent records to the National Archives of the United States. The disposition of records that provide such documentation is governed by General Records Schedule (GRS) 16.	36 CFR 1220.36 Maintenance and use of records.	Project Director	Logistics Management	Records Management
6.23.e	QUALITY CONTROL	(a) Agencies must ensure the proper, authorization disposition of their record, regardless of format or medium, so that permanent records are preserved and temporary records no longer of use to an agency are promptly deleted or disposed of in accordance with the approved records schedule when their required retention period expires. As an intermediate step when records are not needed for current day-to-day reference, they may be transferred to a records storage facility.	36 CFR 1220.38 Disposition of records.	Project Director	Logistics Management	Records Management
6.23.f	QUALITY CONTROL	Each agency must periodically evaluate its records management program relating to records creation and record keeping requirements, maintenance and use of records, and records disposition. These evaluations shall include periodic monitoring of staff determinations of the record status of documentary materials in all media, and implementation of these decisions. These evaluations should determine compliance with NARA regulations in this subchapter, include requirements for storage of agency records and records storage facilities in 36 CFR	36 CFR 1220.42 Agency internal evaluations.	Project Director	Logistics Management	Records Management

Attachment A

	Function	Responsibility	Authority	Lead Responsible Organization	Support Organization	Notes
		Part 1228, subparts I and K, and assess the effectiveness of the agency's records management program.				

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### **EMCBC RECORD OF REVISION**

#### **DOCUMENT – EMCBC Functions Responsibilities and Authorities (FRA)**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I** Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I** Placing the words GENERAL REVISION at the beginning of the text.

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<b>Rev. No.</b>	<b>Description of Changes</b>	<b>Revision on Pages</b>	<b>Date</b>
1	New Program Description	All	11/05/07
2	Biennial Review and Update	As applicable	06/13/2011